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LEGISLATIVE BRANCH APPROPRIATIONS FOR 1991

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES

ONE HUNDRED FIRST CONGRESS

SECOND SESSION

SUBCOMMITTEE ON LEGISLATIVE APPROPRIATIONS

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PART 2

LEGISLATIVE BRANCH

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LEGISLATIVE BRANCH APPROPRIATIONS FOR 1991

MONDAY, JANUARY 29, 1990.

Mr. **FAZIO**. The committee will come to order. We will now commence hearings on the fiscal year 1991 budget for the various Legislative Branch agencies under the jurisdiction of the Subcommittee on Legislative. Mr. Lombard informs me that we are embarking on my ninth year as Chairman of this subcommittee.

Before we begin, I would like to introduce the Members of the Subcommittee: Sid Yates of Illinois; Dave Obey of Wisconsin; Jack Murtha of Pennsylvania; Bob Traxler of Michigan; Lindy Boggs of Louisiana; Jerry Lewis of California, who is our ranking minority member; Sil Conte of Massachusetts, who is the ranking minority on the Full Committee; John Myers of Indiana; and John Porter of Illinois.

We also have the Chairman of the Committee on Appropriations, Jamie Whitten of Mississippi, who is also a member of the subcommittee.

The budget that we are going to consider totals $1,890,812,000. The total does not include $457,043,000 in Senate items which will be considered in the other body. With the Senate included, the total budget for the Legislative Branch would be $2,347,855,000. Of the portion of this budget which will be considered by the Subcommittee, $1,177,938,000 is for congressional operations only.

CONGRESSIONAL OPERATIONS AND OTHER AGENCIES

Mr. **TRAXLER**. Excuse me. That is a very important point.

Does that include the Senate amount as well?

Mr. **FAZIO**. $1,177,938,000 goes to support congressional operations, excluding the Senate.

Mr. Lombard informs me that you would have to add $457,043,000 to that for Senate operations for the total congressional operations budget, that is $1,634,981,000.

Mr. **TRAXLER**. So then the non-congressional items total how much, please?

Mr. **FAZIO**. That is $712,874,000.

Mr. **TRAXLER**. Is it fair to say that if the media says this is $2 billion, they are just liars or ill-informed?

Mr. **FAZIO**. I wouldn't go that far. Normally, the press are not present and we then are reported erroneously to have met in secret, but then again, I am sure that there are some press here today so maybe we should pursue this further.

You can argue it any way you want. Usually in an election year, it is played as the absolute largest figure without any reference to congressional operations. But, the fact is that the bill includes the Library of Congress, the Government Printing Office, the General Accounting Office, and other support agencies.

After all, they are in the Legislative Branch. So if somebody wants to make that argument, they can.

Mr. **Traxler**. They are?

Mr. **Fazio**. Yes, but congressional operations are a different matter.

Mr. **Traxler**. Who appoints the Librarian of Congress?

Mr. **Fazio**. He is appointed by the President of the United States.

Mr. **Traxler**. Is that the language that Congress included also?

Mr. **Fazio**. That CRS portion. The remainder isn't.

Mr. **Traxler**. Accounting 101.

Mr. **Fazio**. The balance of the funds requested, which total $712,874,000, support statutory and administrative activities of the Legislative Branch which are conducted for the Executive Branch and for the public at large.

These include, in addition to the agencies which I mentioned, the Copyright Royalty Tribunal.

There are no supplemental requests to be considered for fiscal year 1990.

I think that this is a rare occurrence, although it is an admission of reality.

We haven't been funding supplementals in recent years.

COMPARISON OF BUDGET GROWTH BETWEEN LEGISLATIVE AND EXECUTIVE BRANCHES

It is important to note the history of restraint we have imposed on the Legislative budget in recent years.

We have kept our budget well below the growth in the Executive budget.

Since fiscal year 1982, my first year as chairman of the subcommittee, the annual compound rate of growth has been 5.5 percent. The comparable rate of growth in the overall Federal funds budget has been 6.5 percent.

The general Government function, which includes executive direction and management of the Executive Branch, i.e., OMB and other offices around the White House, has grown at 6.8 percent per year on average, which is more analogous; that is a 15.3 percent higher annual rate of growth than the Legislative budget.

We will review each request carefully and ask whether or not it is essential to the workings of the legislature or whether it can be cut back.

I suppose it is clear that we are meeting today in part due to the fact that this is our budget that has been sent to us—we are pleased to say this year without alteration—by the Executive Branch, except for the judicial building issue.

Basically, they have respected the separation of powers.

LEGISLATIVE BRANCH FISCAL RESTRAINT

The fiscal year 1991 budget represents an increase over the 1990 appropriations. However, the committee will undoubtedly make reductions when we mark the bill up just as we have almost every other year. But, we should point out that the Legislative budget is behind the growth in other areas of the Federal budget and it is becoming increasingly difficult to maintain this kind of restraint on our budget year after year.

After all, we are one-third of the Federal Government, as our Founding Fathers determined, and we have to protect and provide for the ability of the Congress to oversee the vast activities and expenditures of the entire Federal budget.

We have kept the number of average positions at GAO at approximately 5,000 for the entire time I have been Chairman of this subcommittee. That is a lot of restraint for the GAO. It is obvious now.

COMMENTS ON PRESS COVERAGE

Mr. Fazio. I would like to clarify my comments about the press. We are happy to have the press here. However, it is frustrating when people don't attend open meetings and then claim that the meetings were secret. I am referring to a very exciting conference meeting that we had at the end of last year which was well reported on by many newspapers, but not all.

We are glad to have the press here today. It is a rare occasion that we hold closed hearings except for meetings related to security issues in and around the Capitol.

MONDAY, JANUARY 29, 1990.

FAIR EMPLOYMENT PRACTICES REVIEW PANEL

WITNESSES

HON. JOE KOLTER, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF PENNSYLVANIA, CHAIRMAN

JOEL CAVICCHIA, ADMINISTRATIVE ASSISTANT TO CONGRESSMAN KOLTER

BILL BARANOWSKI, DIRECTOR, OFFICE OF FAIR EMPLOYMENT PRACTICES

MIKE SHORT, PRESS/LEGISLATIVE AIDE TO CONGRESSMAN KOLTER

CHARLES T. HOWELL, CHIEF COUNSEL, COMMITTEE ON HOUSE ADMINISTRATION

Mr. FAZIO. We will begin testimony today with the Fair Employment Practices Review Panel.

We welcome Congressman Joe Kolter, who is Chairman of the Fair Employment Practices Review Panel.

The panel was established by H. Res 558 and H. Res 15 and, together with the newly established Fair Employment Practices Offices under the Clerk, represents a much appreciated personnel policy as part of the House of Representatives.

INTRODUCTION OF WITNESSES

Do you have a formal statement?

Mr. KOLTER. Mr. Chairman, I have no statement. I am here because I was invited to answer any questions.

I brought with me two members of my staff: Joel Cavicchia, administrative assistant; and Mike Short, another member of my staff.

In addition, we have Bill Baranowski, the Director of the Office of Fair Employment Practices, appointed to us by the Committee on House Administration.

Charlie Howell, who is a legal counsel for the committee, is also here.

Mr. FAZIO. I know you came on short notice.

Mr. KOLTER. I was going to go skiing this morning.

Mr. FAZIO. Were you really?

Mr. KOLTER. I skiied on my way in here, believe me.

SOURCE OF FUNDING FOR AWARDS

Mr. FAZIO. I gather the most important thing we need to know from a budgetary standpoint is that you are expecting to fund the adjudications you make out of the budgets of the agencies in which the employee is working; is that right?

If a police officer becomes the subject of a case and an issue is resolved in favor of the person who brought the action, the police budget will compensate?

Mr. **Kolter**. That is correct.

Mr. **Fazio**. We will ultimately get that in the next fiscal year budget.

Mr. **Kolter**. That is correct.

The only trouble I see that we may have in the future is in the event that a staff person who is employed by the Committee on House Administration or a member of that committee may have a complaint. At that point, there is a conflict of interest.

Under the set-up today, we do not have legal counsel. We rely on help from whatever source there is available for legal counsel.

That is the only problem I see in the future.

Mr. **Fazio**. You don't have any formal staffing then. Do you use committee staff and personal staff?

Mr. **Kolter**. Yes. I think it is a very workable program. I think we can save money here. I think that the only problem we may have again is if, in fact, we have a problem with a member of our committee.

Mr. **Fazio**. We know you have recently issued your first decision. We have your first reprogramming request, I gather, which relates to the first issue you dealt with. I know that you can't get into the detail of these cases during the hearing.

Mr. **Kolter**. Yes, it is confidential.

Mr. **Fazio**. Yes, but I guess we can anticipate further reprogramming requests, if these people are given awards in a timely way. That is, when you make a determination that some kind of financial compensation is warranted.

Mr. **Kolter**. We are getting about a phone call a day, six or seven a week possibly on people who have some problems, and it has worked out to perfection because when the Chairman, when the director of the Office of Fair Employment Practices, Mr. Baranowski, explains how this system works, the complainee goes back to his or her boss and they work it out themselves.

In a year's time we have had, like you say, only one case, the Trader case. I am thankful for that.

JURISDICTION OF FAIR EMPLOYMENT PRACTICES REVIEW PANEL

Mr. **Fazio**. Could you tell us what your jurisdiction covers? For example, are we talking about all House employees?

Mr. **Kolter**. According to House Resolution 558, every Member, every employee employed by the House of Representatives qualifies in this area here. I think that in the confines of the bill, there is a definition. Do you have that, Joel?

If I may read, Mr. Chairman, the term "employment position" means, with respect to the House of Representatives, a position that pay for which is disbursed by the Clerk of the House of Representatives, and in the employment position, in a legislative service organization or other entity, that is paid through funds derived from the Clerk hire allowance. So, evidently it means just about everybody.

Mr. FAZIO. Clerk hire, yes. So we are talking about people who work, for example, in service capacities?

Mr. KOLTER. Yes, for the Member, if a Member has an employee who is unhappy with him or her, why, they also have this opportunity to ask for help.

Mr. FAZIO. And you can overrule the Clerk's decision if you think it is appropriate and therefore award some additional sum as you did in the first instance?

Mr. KOLTER. You are talking about the decision made by the hearing judge. We did. We found, in fact, that a part of the hearing we thought—and I say "we," the committee as a whole—thought that they were right to a point. However, upon total, complete review of the case history of the problem, we decided for additional compensation. We followed the law to the "T," quite frankly. We had this in front of us and we did have legal counsel's advice on everything we did.

Mr. FAZIO. So in a sense you are an appellate body?

Mr. KOLTER. I would say that, yes.

Mr. FAZIO. Hopefully, the first stop will be the last stop, the administrative hearing kind of process?

Mr. KOLTER. Precisely.

Mr. FAZIO. Do you anticipate legal counsel on almost all these cases?

Mr. KOLTER. The only time we really require legal counsel is if a case is brought before the committee, before Mr. Baranowski, the Director, and he isn't able to resolve it. And if the complainant asks for a hearing, then the committee will have to appoint a hearing judge to hear the case.

As I said, we are receiving six or seven, maybe eight calls a week, and so far this happened one time.

DISCUSSION ON LEGAL FEES OF PLAINTIFFS

Mr. FAZIO. What about the legal fees in terms of how they are compensated, for those people who are represented by attorneys?

Mr. KOLTER. Mr. Chairman, this being the first case, we are making plans to have our first meeting next week to discuss the legal fees. The payment of legal fees has been requested by the attorneys for the person who had the complaint.

This is a new area for us. We haven't resolved anything here. We have done an in-depth study. Hopefully we will use a guide and we will explain that to the committee next week. We will go back to what has happened in prior years in other cases.

Mr. FAZIO. Normally, do people in this kind of situation have an attorney on a contingency fee basis? Some percentage of their award goes to the attorney? If they fail, they are not compensated at all? Is that typical?

Mr. KOLTER. May I refer the question to Bill Baranowski?

Bill, do you know more about that?

Mr. BARANOWSKI. I believe in most instances that is usually the way that they work, that it is on an award basis.

Mr. FAZIO. So then, the fees are not normally added on. The attorneys fees would be deducted from the total award?

Mr. **Kolter**. Well, I do have a problem here, Mr. Chairman. The problem here is that we have received a bill from the attorney, which I am not willing to discuss at this time. But nowhere in the bill, House Resolution 558, does it indicate how this is going to be paid.

So it does present a new problem for me. I don't know how to resolve it. We will have to refer, I guess, to the legal counsel for the committee as a whole for his advice.

Mr. **Fazio**. You know much more about this than we, but I guess we are concerned about the dollar issues here.

Is there a limit on awards as you perceive it? Are we opening up a new back-door approach to the U.S. Treasury essentially?

Mr. **Kolter**. When we passed House Resolution 558, we thought this would open Pandora's box. Nothing in the law indicates there is a limit on the amount of compensation—no high limit, neither is there a low limit. Therefore, we are opening the doors here. Depending on the case itself, all I can say is that we will provide fair treatment.

EXECUTIVE BRANCH PRACTICES

Mr. **Fazio**. I think you will. I am not at all concerned about that.

Policy should be established, however, about legal fees so that people understand up front that part of their award will be used to compensate their attorneys. If we in the Legislative Branch get legal bills in addition to these awards, I think that treats us differently than might be the case in the Executive Branch. If I am wrong, I stand corrected and I will be happy to hear——

Mr. **Kolter**. I think I would concur with that. We need possible additional legislation to prevent this. It should be reviewed.

Mr. **Fazio**. Once there is more experience in this area, there may be other areas we need to address.

Mr. **Traxler**. Mr. Chairman, on that point.

Mr. Kolter, what is the practice of the Equal Employment Opportunity Commission? What do they do about attorneys fees? Can you use them as a model?

Mr. **Kolter**. Would you repeat the question?

Mr. **Traxler**. When a Federal employee brings an action or a claim against a Federal department head or a Federal agency, what is the practice relative to attorney fees in that situation if the employee is successful?

Mr. **Cavicchia**. I can't speak specifically about the practice in that area. I would think that, in this particular instance, it is somewhat different.

I think we didn't anticipate initially—consulting with Mr. Baranowski here—the types of fees that will be anticipated by the complaint when he brings in the case before the board.

Mr. **Traxler**. My recollection is that this matter is one that was carefully patterned after the Acts that protects employees in the Executive Branch. It would seem to me that you have plenty of precedent there relative to attorneys fees if you take a look at it.

Mr. **Kolter**. We are doing that. We are doing that at this point in time. My administrative assistant is also an attorney and he is reviewing it too.

Mr. **Cavicchia**. To the extent that this is all virgin territory as far as the attorneys fees, I have been going back and seeing in these types of instances the past practices as far as the case law and attorneys fees and cases used as a model for what we anticipate in the next month or so.

Mr. **Traxler**. That is my question. What is the practice in the Executive Branch?

Mr. **Cavicchia**. The little research that I have seen has come up with several significant cases that have had guidelines of certain points to focus upon on the type and amount of fee to award. The difficulty of the case——

Mr. **Traxler**. Does that money come out of the award or is that in addition to the award?

Mr. **Cavicchia**. I believe it might be in addition to the award.

Mr. **Traxler**. Will you let us know when you find out?

Mr. **Cavicchia**. Sure.

Mr. **Fazio**. This could be transmitted to us informally. We do understand you are just getting started and we also appreciate the voluntary nature of the staff. Everyone's AA has other things to do than research what is going on at the Equal Employment Opportunity Commission. But I really believe that you know we have to work together as we get started here.

Hopefully, whether there is new legislation passed, or regulations that you institute, we have to keep in mind a standard that is fair.

Mr. Lombard points out to me that in the Executive Branch, people go to the courts if they are not satisfied with the outcome of an administrative process.

Mr. **Kolter**. It is my understanding that this is a final stop here. It goes no further.

In review, you know, since we are having our meeting next week, hopefully we just started our review on other practices and we hope to have other information by sometime next week. But it is new. We haven't really had time to work on this.

Mr. **Traxler**. Of course.

ROLE OF FAIR EMPLOYMENT PRACTICES REVIEW PANEL

Mr. **Fazio**. One other question. I am still uncertain as to what role your panel plays in relation to the Ethics Committee. An aggrieved employee can take a matter to the Ethics Committee for purposes of determining whether someone is to receive a penalty for their misbehavior. Is there an overlapping responsibility between the review panel and the ethics process?

I understand that, now, an employee not only comes to you with a complaint, but also they are seeking compensation. That is different than just trying to assess a penalty on someone else. I am not sure if I had an employee with a grievance I would know which way to go.

Mr. **Kolter**. I am not certain either, Mr. Chairman. It opens the doors for people other than Members, working for other executives, for example, other than Members, giving them the opportunity for a fair practice.

I think most of the ethics cases that we hear about are relative to a Member. So now I think anybody who is employed through the Clerk's hire has that opportunity to be heard in a confidential sort of a way.

Mr. **Fazio**. I would think a large number of employees, if they have a grievance, would have it only indirectly with a Member. They may have it with a supervisor or some intermediary who is responsible ultimately to a Member, but the member is not really the source of the grievance.

Mr. **Kolter**. This case we did hear, Mr. Chairman, had nothing at all to do with a Member, as you will recall.

Mr. **Fazio**. Yes, but if they have a complaint about a Member, they could well bring it to you as well.

Mr. **Kolter**. Yes, but I think the Ethics Committee is much more powerful.

Mr. **Fazio**. Much more overworked, but also without the ability to compensate.

Mr. **Kolter**. Yes.

EDUCATION IN FAIR EMPLOYMENT PRACTICES

Mr. **Traxler**. Mr. Chairman?

Do you hold seminars for administrative assistants and for Members? How are we educated as to the rules of employment practices?

Mr. **Kolter**. The education evidently comes from a phone call from the person who has the complaint to Bill Baranowski.

Mr. **Traxler**. Let's do some preventive maintenance.

How do I know what the standards are which I am expected to follow? What are fair employment practices? How do I discover them; or better yet, how does my AA, since he runs the office, how does he know what constitutes a fair practice or unfair practice?

Is there any place we can go for information? Was there a seminar recently on this point?

Mr. **Baranowski**. If I could address that, usually what will happen is, in the example you gave, an AA might have a question or a problem, they would very often call me and we would go through that specific issue and deal with it on a more specific basis and try to handle them on that type of term rather than just on a general open term.

I have been dealing with people, when they have a problem. They call me and we run through it and find out what their concerns are and make sure that they, whatever actions they take, won't be in any violation of the resolution.

Mr. **Traxler**. Before you get to that point, how does the AA know what is a violation of standard practices? How do we educate ourselves as to what is or is not permissible? What is acceptable conduct or unacceptable conduct on the part of the employer towards the employee or perspective employee?

We could use common sense and all that kind of stuff, but we will have to start acting like a bureaucracy. The military does, private industry does it, smart people in government do it. We are really moving into new areas for most of us.

All we want to do is what is right. How do we ascertain what that proper standard is. That is what I am asking you. Didn't you do a seminar?

Mr. **Kolter**. No, we never had a seminar.

CLOSING REMARKS

If I may conclude, the advertisement by word of mouth is the best there is. They now know there is an opportunity to be heard if they are unhappy about a situation. I think this gives Bill Baranowski the opportunity to serve as a mediator.

Mr. **Traxler**. Mr. Kolter, you are taking care of the employee. What I am looking at as an employer is, where can I go to find out what are correct standards or improper standards in my relationship with prospective employees or current employees? How do I know what I am being judged against?

Mr. **Kolter**. I can't answer that, but I would probably talk to Charlie Howell or my attorney assistant. I know nowhere else to go to.

Mr. **Fazio**. In the context of what the Ethics Committee will do in terms of outreach, this should also be included so that Members and their top staff will know what could possibly throw them into this situation.

Mr. **Kolter**. There is nothing definitive in the law. If we want to make it definitive, we can. We can have another bill put in.

Mr. **Fazio**. I think you start with the golden rule, Mr. Traxler.

By the way, I am informed by staff that the Merit System Protection Board allows fees to be added on after the adjudication has compensated the plaintiff. So you may have more than one analogy to go by.

Congresswoman Barbara Vucanovich, the ranking minority and you deserve praise for drawing this up.

Mr. **Kolter**. We are trying to work very closely with the law and we are insisting on being confidential in all our actions here.

Mr. **Fazio**. Hopefully you won't be overworked.

I was once on the voluntary committee that tried to play this role. This will work much better. People did not feel that we were going to do much for them even though it was our intent to do so. Having it official and organized is a step forward.

Mr. **Kolter**. The committee makeup is that they are very professional Members of the committee. I am pleased for their cooperation.

Mr. **Fazio**. We appreciate very much your being here, and hope that you don't get too many calls in the interim.

Mr. **Kolter**. We concur, Mr. Chairman.

MONDAY, JANUARY 29, 1990.

U.S. HOUSE OF REPRESENTATIVES AND JOINT ITEMS

WITNESSES

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LEGISLATIVE COUNSEL

DAVID E. MEADE, LEGISLATIVE COUNSEL

OFFICE OF THE ATTENDING PHYSICIAN

WILLIAM M. NARVA, ATTENDING PHYSICIAN

OPENING STATEMENT

Mr. FAZIO. We will now take up the budget of the House of Representatives and several joint items. The House budget is $671,358,000, which is $143 million above the fiscal year 1990 level, after all adjustments are reflected.

The total joint items budget is $171,977,000, an increase of $4.5 million over the net amounts for fiscal year 1990. Additionally, it is my understanding that you will submit a budget amendment in the amount of $3,220,000.

The combined House and joint items budget which we will consider is $843,335,000. That is the portion of the bill which directly relates to expenses for Members, committees, staff of the House, and the activities we share with the Senate.

The Senate budget request, as I indicated earlier, is $457,043,000.

INTRODUCTION OF WITNESSES

We want to welcome the officers of the House. First our Clerk, Donnald K. Anderson, who is here for the fourth time. Donn, is the de facto budget officer for the House and will present the entire budget of the House and joint items disbursed by the Clerk.

He will refer in turn to the other officers of the House who will outline their budgets.

The other Officers who are with us are Mr. Jack Russ, Sergeant at Arms; Mr. James T. Molloy, the Doorkeeper; and Mr. Robert V. Rota, the Postmaster.

We also have Dr. Ray Smock, the Historian; Ed Willett, Law Revision Counsel; David Meade, who succeeded Ward Hussey as Legislative Counsel; and Dr. Narva, the Attending Physician.

In keeping with the procedure we inaugurated last year, we will not hear the Capitol Police budget today. We have scheduled a hearing with the Capitol Police Board for tomorrow morning.

We are looking forward to having George White and Henry Giugni, the other members of the Police Board, join us at that time.

So without further delay, Donn, would you proceed with your statement?

I understand it is Ray Colley's twenty-second appearance, Ray is the Deputy Clerk; and Bob McGuire, the Finance Officer, who is one of the most articulate people whispering in my ear on the Floor, we appreciate his involvement all the way through.

Clerk's Opening Remarks

Mr. Anderson. Thank you, Mr. Chairman and members of the subcommittee.

When I last appeared before this subcommittee at the commencement of the 101st Bicentennial Congress to present the budget for the current fiscal year 1990, I made reference to the House at the start of its third century of service to the people.

In this, my fourth appearance before you as Clerk of the House, I can refer to the beginning of a new decade, the last of the Twentieth Century.

Indeed, it is easier to focus on a decade rather than a century, but whatever the frame of reference, I am confident that the American people believe in the worthiness of this great institution and in the dedication of the Members to their service.

My confidence is undiminished either by the stress of the past year or by the gratuitous and undeserved negative commentary in the public media.

The new decade will predictably be one of great and positive change in keeping the House acute and responsive to the needs of the people.

I look forward to working with you as the Clerk of the House in moving the House forward in many important areas.

I again give you my assurance that our business has been prudently conducted under the policies which you have established for our guidance.

The various offices of the Clerk have been very busy during the past year. I will provide more detail when we reach that portion of this budget testimony.

INTRODUCTION OF STAFF

You have already indicated the presence of our veteran team—W. Raymond Colley, Deputy Clerk; Robert S. McGuire, Chief of the Finance Office; Michael Heny, Assistant Chief; our new Assistant Chief of Finance, Jane Mattoon, not as senior in service as her colleagues but who is similarly effective.

Mr. **Fazio**. Jane, could you raise your hand? There you are.

Mr. **Anderson**. Our Finance Office Assistant for the budget Michael Buckley is with us as well.

There are considerable supporting materials available as might be needed in response to any questions. The various House officers will be here to testify as we go through the budget.

Let me remind the subcommittee that although the Clerk's staff collects and prepares the financial details for all House operations, and we disburse the funds that are eventually appropriated, the obligation of these funds is conducted by a great many people—Members, committees, the leadership offices, and House officers.

The policies, laws, rules, and regulations that guide obligations and disbursements are varied.

All witnesses at today's hearing will be prepared to respond to any questions you may propound.

The details in my statement and in your subcommittee print have been assembled, outlined and carefully reviewed by the Finance team. At this point, Mr. Chairman, I would like to remark for the public record, my deep appreciation for the support, assistance, and sound advice which Mr. Ed Lombard, the Chief Counsel of this subcommittee, gives myself and my office throughout the year as he has throughout the years.

Ed's help makes it easier for us to work to the expectations and within the policy guidelines established by this subcommittee.

Ed, we are grateful.

Mr. **Fazio**. I see that you left that out of your formal statement. Ed probably would make sure that you deleted those remarks.

Mr. **Anderson**. I prefer to be spontaneous.

Mr. **Fazio**. They are appropriate remarks.

Mr. **Anderson**. He would have asked me to omit them. Knowing that, I didn't include them in my statement.

Mr. **Fazio**. He offers advice even when not asked.

Mr. **Anderson**. Only on the rarest of occasions, Mr. Chairman.

The details in my statement and in your subcommittee print have been assembled, outlined, and carefully reviewed by the finance team.

FY 1991 COST OF LIVING ADJUSTMENT

The fiscal year 1991 budget is basically in the same format as in past years.

However, I would like to mention two significant changes. The Office of Management and Budget, for the first time in memory, has issued instructions pertaining to the inclusion of funds for the projected cost-of-living adjustment.

This year, we have included provisions for a 1.3 percent increase which will partially fund the anticipated adjustment and is in accordance with the OMB instruction, which I would like to insert in the record at this point.

[The information follows:]

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

December 12, 1989

MEMORANDUM FOR: Program Deputy Associate Directors
Deputy Associate Director of Government Operations

FROM: Philip R. Dame
Deputy Assistant Director for Budget Review

SUBJECT: Treatment of the FY 1991 and subsequent years pay raises in 1991 and the outyears

The purpose of this memorandum is to clarify treatment of the pay raise in the FY 1991 policy estimates and the outyears. Pay raises for FY 1990 have already been incorporated in the estimates for 1990 and beyond. Guidance on the treatment of the pay raises in the current services and G-R-H baselines is contained in BPM No. 758.

As stated in previous memos, the budget is to assume a 3.5 percent pay raise, effective January 1991, for civilian, military, and executive level employees. For SES employees, assume an average 22 percent pay raise in January 1991. Agencies should include in their estimates 50 percent of the 1991 pay raise costs in FY 1991 for 3/4 of the year. They must absorb the remaining 50 percent. In the outyears, agencies should include the annualized effect of the January 1991 pay raise in their estimates (i.e. full cost for the full year).

Fifty percent of the first-year costs of the 1992-1995 pay raises must also be absorbed. Estimates for the unabsorbed subsequent years' costs of the FY 1992-1995 pay raises should be distributed at the account level. Distributing increased pay costs in policy estimates at the account level is consistent with the treatment of pay in the G-R-H and current services baselines, and will assure technical consistency among the baselines. Hence, there will be no Government-wide allowance for pay.

The following is a simplified example of how the pay policy should be applied.

FY 1990

Assume that the 3.6% pay raise is provided within FY 1990 enacted levels.	Assume $4,440 is the enacted pay amount for a Salaries and expenses account. The increased pay costs for FY 1990 have been provided for within this amount.

FY 1991

1.	Annualize amount of January 1990 pay raise.	$ 4,479 = $4,440/1.027 x 1.036
2.	50% of the 3.5% January 1991 pay raise is absorbed; estimates are inflated for the remaining 50% for 3/4 of the year.	$4,479 x [1+(.035 x .75 x .5)] = $4,538

FY 1992

1.	Annualized amount of January 1991 pay raise is added to 1991 base.	$4,635 = $4,479 x 1.035
2.	50% of the 4.0% January 1992 pay raise is absorbed; estimates are inflated for the remaining 50% for 3/4 of the year.	$4,635 x [1+(.04 x .75 x .5)] = $4,705

FY 1993

1.	Annualized amount of January 1992 pay raise is added to 1992 base.	$4,820 = $4,635 x 1.04
2.	50% of the 3.7% January 1993 pay raise is absorbed; estimates are inflated for the remaining 50% for 3/4 of the year.	$4,820 x [1+(.037 x .75 x .5)] = $4,887

FY 1994

1.	Annualized amount of January 1993 pay raise is added to 1993 base.	$4,998 = $4,820 x 1.037

2.	50% of the 3.4% January 1994 pay raise is absorbed; estimates are inflated for the remaining 50% for 3/4 of the year.	$4,998 x [1+(.034 x .75 x .5)] = $5,063

FY 1995

1.	Annualized amount of January 1994 pay raise is added to 1994 base.	$5,168 = $4,998 x 1.034
2.	50% of the 3.1% January 1995 pay raise is absorbed; estimates are inflated for the remaining 50% for 3/4 of the year.	$5,168 x [1+(.031 x .75 x .5)] = $5,230

ETHICS REFORM ACT, 1989

Mr. **Anderson**. The other major difference is the inclusion of the anticipated impact of the Ethics Reform Act of 1989, which contained certain provisions that affect Members' pay.

Because of the historical relationship between Member and staff salary levels, we have included funds for the anticipated adjustments.

This action is a change, but one which we feel is prudent.

Mr. **Fazio**. On that point, what you are saying is that now that the leadership, committee chairmen, and members generally, are in a position to adjust staff salaries, assuming the ceiling is raised, you are preparing, in effect, to fund those should they choose to exercise their authority within those ceilings?

Mr. **Anderson**. That is correct.

Mr. **Fazio**. It doesn't mean that they will increase levels to the authorized levels, but they can?

Mr. **Anderson**. That is an accurate description, Mr. Chairman.

Mr. **Fazio**. Let's proceed unless there are other questions.

FY 1991 BUDGET SUMMARY

Mr. **Anderson**. For fiscal year 1991, our estimates that were submitted earlier to the Office of Management and Budget, which are reflected in the budget transmitted to the Congress by the President, and which are detailed in your subcommittee print, total $836,646,000. This includes $671,358,000 for the House of Representatives and $165,288,000 for certain joint items disbursed by the clerk.

There is a table at this point which I would like to include for the record that shows a breakdown of the items which should be included in the record.

[The table follows:]

	FY 1989 actual expenses[1]	FY 1990 appropriations[1]	FY 1991 estimates
HOUSE OF REPRESENTATIVES			
Payment to Widows and Heirs of Deceased Members of Congress	$358,000	$268,500	
Mileage of Members	150,000	209,000	$210,000
Salaries and Expenses:			
House Leadership Offices	3,493,000	4,347,000	5,220,000
Members' Clerk Hire	181,996,000	185,441,000	210,514,000
Committee Employees	49,588,000	54,230,000	89,874,000
Committee on the Budget (Studies)	289,000	349,000	379,000
Standing Committees, Special and Select	40,981,000	56,908,000	83,168,000
Allowances and Expenses	159,327,000	182,328,000	226,700,000
Committee on Appropriations (Studies and Investigations)	4,327,000	4,595,000	6,120,000
Salaries, Officers and Employees	35,953,000	39,040,000	49,173,000
Total Salaries and Expenses	$475,954,000	$527,238,000	$671,148,000
Total House of Representatives	$476,462,000	$527,715,500	$671,358,000
HOUSE JOINT ITEMS			
Joint Committee on Taxation	3,817,800	4,353,000	5,450,000
Office of the Attending Physician	1,345,000	1,399,000	1,450,000
Capitol Police Board	54,809,000	56,532,000	63,884,000
Official Mail Costs	89,504,000	99,016,000	97,704,000
Statements of Appropriations		20,000	20,000

	FY 1989 actual expenses[1]	FY 1990 appropriations[1]	FY 1991 estimates
Total House Joint Items	149,475,800	161,320,000	168,508,000
Total House of Representatives and Joint Items	625,937,800	689,035,500	839,866,000

[1] As of 11/30/89.

[2] Includes reductions for drug war and sequestration.

Mr. **Anderson.** Mr. Chairman, as has been customary, my statement will follow the same order of offices in your subcommittee print.

On each page, you will see page numbers referenced so that each of you may follow both texts as the hearing progresses.

When the officers of the House appear, I will take up each item that affects their offices.

The Sergeant at Arms will discuss the accounts relating to mileage to Members and his immediate office; the Doorkeeper will review his immediate office and the Capitol Page School; and the Postmaster will provide testimony on his operations.

In addition to the House officers, we have other key House staff to join this presentation as we reach their respective sections of the budget.

Mr. **Fazio.** I have a question that I will insert in the record at this point.

[The question and response follows:]

Question. Insert a list of the House accounts, the current amounts authorized for each, and the budget amount.

Response:

Salaries and expenses account	Authorized amount	FY 91 budget request
House Leadership Offices	$5,043,000	$5,220,000
Members' Clerk Hire	196,838,000	210,514,000
Committees Employees	85,852,000	89,874,000
Committee on the Budget	(1)	379,000
Standing Committees, Special and Select	56,787,000	83,168,000
Allowances and Expenses	[2] 69,973,000	226,700,000
Committee on Appropriations	(3)	6,120,000
Salaries, Officers and Employees	43,286,000	49,173,000
Total	457,779,000	671,148,000

[1] Committee on the Budget: Operates on an appropriation rather than authorization.

[2] Of the eight accounts under this heading, two have specific authorizations. The remainder operate on a fiscal year appropriation.

[3] Committee on Appropriations (Studies and Investigation): Operates on an appropriation rather than an authorization.

House Leadership Offices: The authorized amounts include the FY 90 Cost of Living Adjustment and the statutory rates of pay pursuant to the Speakers' Pay Order of February 8, 1990.

Members Clerk Hire: The authorized amounts include the FY 90 Cost of Living Adjustment.

Committee Employees: The authorization includes the rates of pay pursuant to the Speakers' Pay Order of February 8, 1990.

Committee on the Budget: Operates on an appropriation rather than authorization.

Standing Committees, Special and Select: Rule XI, Clause 5 of the Rules of the House requires an annual expense authorization to be adopted by the House before Committees may expend funds from this account. These authorizations are adopted on a session basis. The authorized amount shown above is H. Res. 346, the most recent resolution approved by the Committee on House Administration for calendar year 1990.

ALLOWANCES AND EXPENSES

Of the eight accounts under this heading, two have specific authorizations. The remainder operate on a fiscal year appropriation.

Official Expenses of Members: The allowance is set by the Committee on House Administration. The current authorization is $69,917,878.

Supplies, Materials, Administrative Costs and Federal Tort Claims: The items under this account are varied and diverse. Some are under the broad authorization of the Committee on House Administration. An example of expenditures under the broad authority of the Committee on House Administration include procurement of calendars, the reimbursement to House Information Systems, subscriptions to newspapers and periodicals and rental of a parking lot.

Equipment, Purchase, Lease and Maintenance: Operates on an appropriation rather than authorization.

Furniture and Furnishings: Operates on an appropriation rather than authorization.

Stenographic Reporting of Committee Hearings: Operates on an appropriation rather than authorization.

Reemployed Annuitants Reimbursement: Operates on an appropriation rather than authorization.

Government Contributions: Operates on an appropriation rather than authorization.

Miscellaneous Items: An amount of $55,000 is authorized for interparliamentary receptions in 2 U.S.C. 130-1.

Committee on Appropriations (Studies and Investigations): Operates on an appropriation rather than an authorization.

SALARIES, OFFICERS AND EMPLOYEES

Offices of the Clerk, Sergeant At Arms, Doorkeeper and Postmaster: The current authorization is contained in 2 U.S.C. 291 et seq. and The Speakers Pay Order of February 8, 1990.

Office of the Chaplain: The current authorization is contained in the Speakers' Pay Order, February 8, 1990.

Office of the Parliamentarian: The current authorization is included in the Speakers' Pay Order of February 8, 1990.

Office of the Historian: Operates on an appropriation rather than authorization.

Office of the Law Revision Counsel: The current authorization is contained in the Speakers' Pay Order, February 8, 1990.

Office of the Legislative Counsel: The current authorization is contained in the Speakers' Pay Order, February 8, 1990.

Six Minority Employees: The current authorization is contained in the Speakers' Pay Order, February 8, 1990.

Democratic Steering and Policy Committee: The current authorization has four positions in accordance with the Speakers' Pay Order, February 8, 1990. One position is authorized pursuant to H. Res. 625, November 1, 1965 and receives the annual Cost of Living Adjustment. An additional authorization is contained in Public Law 91-510 which is adjusted annually by the Cost of Living Adjustment.

Democratic Caucus: The current authorization is contained in the Speakers' Pay Order, February 8, 1990. An additional authorization is contained in Public Law 91-510 which is adjusted annually by the Cost of Living Adjustment.

Republican Conference: The current authorization has six positions in accordance with the Speakers' Pay Order, February 8, 1990. One position is authorized pursuant to H. Res. 625, November 1, 1965 and receives the annual Cost of Living Adjustment. An additional authorization is contained in Public Law 91-510 which is adjusted annually by the Cost of Living Adjustment.

Other Authorized Employees: Authorization for the three Former Speakers' staffs contained in 2 U.S.C. 31b-5. L.B.J. Interns are authorized pursuant to H. Res. 420, made permanent law in Public Law 93-245, 87 Stat. 1079, and increased annually by the Clerk of the House pursuant to authority granted the Clerk in Section 5 of the Federal Pay Comparability Act of 1970, The Technical Assistants in the Office of the Attending Physician and leadership drivers operate on an appropriation.

HOUSE LEADERSHIP OFFICES

Mr. ANDERSON. For salaries and expenses of the House Leadership Offices, $5,220,000.

At this point, if there are no questions, since there are no major changes in leadership offices, I would like to have the various items printed in the record.

[The tables follow:]

FISCAL YEAR 1991, HOUSE LEADERSHIP OFFICES

For salaries and expenses of the House Leadership Offices, $5,220,000. Included in this amount are additional funds for each Leader's office to provide for various pay adjustments for all employees.

Mr. Chairman, each Leadership Office is entitled to a Statutory Allowance, a Lump Sum Allowance and an Official Expenses Allowance as authorized by law. The Statutory Allowance is for certain personnel positions. The Lump Sum Allowance includes funding for all other positions and nonpersonnel expenditures. The annual Official Expenses Allowance is available to the Leadership upon request. Historically, a parity has been maintained between the Majority and Minority Offices, excluding the Speaker. I would now like to present each Leadership Office funding request.

HOUSE LEADERSHIP OFFICES APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$4,024,000	$4,409,000	$5,220,000
Sequester		62,000	
Expenditures	3,491,800	962,000	
Unexpended balances	532,200	3,385,000	5,220,000

OFFICE OF THE SPEAKER

For the Office of the Speaker, $1,132,000. This includes funds for statutory positions, a Lump Sum Allowance and $25,000 for the Speaker's Official Expenses.

SPEAKER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$902,000	$1,019,000	$1,132,000
Sequester		14,000	
Expenditures	856,000	222,000	
Unexpended balances	46,000	783,000	1,132,000

OFFICE OF THE MAJORITY FLOOR LEADER

For the Office of the Majority Floor Leader, $1,071,000. This includes funds for statutory positions, a Lump Sum Allowance and $10,000 for the Leader's Official Expenses.

MAJORITY FLOOR LEADER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$828,000	$940,000	$1,071,000
Sequester		13,000	
Expenditures	661,000	191,000	

MAJORITY FLOOR LEADER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES—Continued

	Fiscal years		
	1989	1990	1991
Unexpended balances	167,000	736,000	1,071,000

OFFICE OF THE MINORITY FLOOR LEADER

For the Office of the Minority Floor Leader, $1,316,000. This includes funds for statutory positions, a Lump Sum Allowance and $10,000 for the Leader's Official Expenses.

MINORITY FLOOR LEADER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$926,000	$1,041,000	$1,316,000
Sequester		15,000	
Expenditures	809,000	220,000	
Unexpended balances	117,000	806,000	1,316,000

OFFICE OF THE MAJORITY WHIP

For the Office of the Majority Whip, $973,000, including an amount not to exceed $293,253 for the Chief Deputy Majority Whip. This funding includes amounts for statutory positions and Lump Sum Allowances in both offices, and $5,000 for the Majority Whip's Official Expenses.

MAJORITY WHIP APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$570,050	$588,000	$679,747
Sequester		9,000	
Expenditures	479,200	136,000	
Unexpended balances	90,850	443,000	679,747

CHIEF DEPUTY MAJORITY WHIP APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$162,950	$167,000	$293,253
Sequester		2,000	
Expenditures	162,800	47,000	
Unexpended balances	150	118,000	293,253

OFFICE OF THE MINORITY WHIP

For the Office of the Minority Whip, $728,000, including an amount not to exceed $88,220 for the Chief Deputy Minority Whip. This funding includes amounts for statutory positions and $5,000 for the Minority Whip's Official Expenses. In addition, amounts for Lump Sum Allowances in both offices are included.

MINORITY WHIP APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$554,260	$570,000	$639,780
Sequester		8,000	
Expenditures	444,265	125,000	
Unexpended balances	109,995	437,000	639,780

CHIEF DEPUTY MINORITY WHIP APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$80,740	$84,000	$88,220
Sequester		1,000	
Expenditures	80,735	21,000	
Unexpended balances	5	62,000	88,220

IMPACT OF SEQUESTRATION

Mr. FAZIO. That will be the order in which we will print them in the record.

I would like to ask the question about the effects of sequestration and the drug war reductions.

For example, when there is a sequestration on a relatively small account, perhaps the salary to the chaplain, how do you handle that?

Will we be asked to appropriate more money?

Mr. ANDERSON. I will ask Bob McGuire, our Chief of Finance, to respond.

Mr. MCGUIRE. The House account now is one account, salaries and expenses.

The impact of the sequestration order falls on us at that level.

So for accounts such as the chaplain's salary, where the money in that particular line item is his salary and his salary only, it is the policy decision made by the leadership of the House that that salary not be sequestered and that the dollars that otherwise would fall there fall in another account better able to absorb it.

Mr. FAZIO. The Committee has the authority to authorize funding transfers to meet that kind of exigency.

Mr. MCGUIRE. That is correct.

Mr. FAZIO. Go ahead, Donn.

MEMBERS' CLERK HIRE

Mr. **Anderson**. Continuing to Members' Clerk Hire, for payment of employee salaries for performing official duties in Members' offices, $210,514,000. This will fully fund the current authorization which is $447,360 per Member.

Mr. **Fazio**. Are there any questions?

We will place that table in the record and go on.

[The table follows:]

Members' Clerk Hire

For payment of employee salaries for performing official duties in Members' offices, $210,514,000. This will fully fund the current authorization which is $447,360 per Member.

The Office of Finance has analyzed Clerk Hire usage in 1989 and found the following: 1) During 1989, Members' Clerk Hire expenditures increased by three point six percent (3.6%) over the amount spent in 1988. 2) The average annual salary of Members' staffs in 1989 was $26,422 for permanent employees and $8,121 for non-permanent employees. 3) Of the total positions available on a monthly basis to Members, an average of 78.2% or 7,569 was used out of a possible 9,680, an increase over 1988 but still down from the recent high of 81.5% during 1985. 4) Overall Clerk Hire spending was 97.7% of the amount authorized.

MEMBERS' CLERK HIRE APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$178,828,000	$188,074,000	$210,514,000
Transfer	3,500,000		
Sequester		2,633,000	
Expenditures	181,996,000	48,262,000	
Unexpended balances	332,000	137,179,000	210,514,000

COMMITTEE EMPLOYEES

Mr. **Anderson**. For committee employees, for payment of salaries for professional and clerical employees, under Clause 6 of Rule XI, of House committees, including the Committee on Appropriations and the Committee on the Budget, $89,874,000.

There is a table included in my testimony that shows the actual fiscal year 1989 salaries for the various standing committees funded from this account, which I will submit for the record.

Mr. **Fazio**. This is an estimate of the requirements that will be made by these chairmen to the House Administration Committees?

Mr. **Anderson**. This fully funds the account, Mr. Chairman.

Mr. **Fazio**. So any reduction would occur through the lower authorization, as might result from the committee funding resolution?

Mr. **McGuire**. This is not the committee funding resolution funds, Mr. Chairman. This is the so-called statutory staff.

Mr. **Fazio**. That is right.

Mr. **McGuire**. We do—as the Clerk says, this fully funds the authorization there.

Mr. **Fazio**. It doesn't mean it will be appropriated to that level?

Mr. McGuire. Nor do the committees in general use their full authorization.

Mr. Fazio. What percentage of their authorizations do the Committees normally use?

Mr. McGuire. Of the authorization, they are currently using—well, as an example, for 1989, of the authorization they used about three-fifths to two-thirds, something in that range.

[The tables follow:]

For payment of salaries for professional and clerical employees (Clause 6 of Rule XI) of House committees, including the Committee on Appropriations and the Committee on the Budget, $89,874,000.

Clause 6 of Rule XI of the Rules of the House authorizes 18 professional and 12 clerical employees for each of 21 House committees for a total of 630 authorized positions. The Committees on Appropriations and the Budget are excluded from the "18-12" rule and employ such staff as they require.

The committee employees paid for this appropriation are augmented by investigative staff paid from "Standing Committees, Special and Select" funds. I shall discuss that request in more detail when we reach that portion of the hearing.

The following table lists the actual FY 1989 salaries for the various Standing Committees funded from this account:

Committee	*Amount*
Agriculture	$1,632,509
Armed Services	1,887,167
Banking, Finance and Urban Affairs	1,356,168
District of Columbia	1,804,414
Education and Labor	1,894,311
Energy and Commerce	2,071,358
Foreign Affairs	2,178,333
Government Operations	1,345,489
House Administration	1,447,922
Interior and Insular Affairs	1,949,197
Intelligence	1,353,071
Judiciary	1,863,370
Merchant Marine and Fisheries	1,642,716
Post Office and Civil Service	1,903,220
Public Works and Transportation	2,002,192
Rules	1,598,464
Science and Technology	1,760,344
Small Business	1,320,588
Standards of Official Conduct	465,230
Veterans' Affairs	1,262,580
Ways and Means	1,972,323
Subtotal	34,710,966
Appropriations	9,586,952
Budget	5,633,217
Subtotal	15,220,169
Total	*49,931,135

*Does not include credits.

Note.—Committees except for Appropriations and Budget also pay salaries from the account "Standing Committees, Special and Select". The Appropriations Committee also pays salaries from the account "Committee on Appropriations, (Studies and Investigations)".

COMMITTEE EMPLOYEES APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$51,067,000	$55,000,000	$89,874,000
Transfer	(904,000)		
Sequester		770,000	
Expenditures	49,588,000	12,544,000	

COMMITTEE EMPLOYEES APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES—Continued

	Fiscal years		
	1989	1990	1991
Unexpended balances	575,000	41,686,000	89,874,000

COMMITTEE MINORITY STAFFING

Mr. **Lewis**. Mr. Chairman, I might mention at this point that there has been a legal discussion, some newspaper discussion, of the minority's interest in impacting committee ratios in terms of staff at this go-round.

It would appear that a good deal of effort is being generated in that connection.

Bill Thomas has talked about the minimum of 20 percent of the staff ratios rightfully falling with the Minority. We have had these discussions for years and years.

I would be interested in knowing whether your data and your analysis anticipate use of staff that isn't normally used because of that nature?

Mr. **McGuire**. Mr. Lewis, in this particular account, this is under the rules of the House and the Minority, by the rules of the House, has one-third of the positions that are funded out of this account.

I think the discussions you are referring to will fall on the investigative staff.

The budget we are submitting today reflects the request by the committee chairman in the aggregate for funding and I would have to presume, given the record that was established last year, that they have taken that into consideration.

Mr. **Fazio**. Mr. Lewis is looking after the Republican platform.

Mr. **Lewis**. Just attempting to help you out, Mr. Chairman.

Mr. **Fazio**. I don't want anyone to think that you were doing it gratuitously. I knew you were serious from the beginning.

[The language and table for the Committee on the Budget (Studies) follow:]

Committee on the Budget (Studies)

For salaries, expenses and studies by the Committee on the Budget and temporary personal services for such committee, including reimbursement to agencies for services performed, $379,000. This increase is requested to fund anticipated increases in the cost of goods and services and expanded Committee activities.

COMMITTEE ON THE BUDGET (STUDIES)

	Fiscal years		
	1989	1990	1991
Total appropriations	$336,000	$354,000	$379,000
Sequester		5,000	
Expenditures	289,000	71,000	
Unexpended balances	47,000	278,000	379,000

Go ahead, Donn.

CONTINGENT FUND OF THE HOUSE

Mr. **Anderson**. Mr. Chairman, continuing with the contingent expenses of the House, I will now present for the subcommittee's consideration a group of accounts and line items commonly referred to as the Contingent Fund of the House.

I would reiterate the word "contingent" in the heading is often misunderstood.

Funds in this section are not requested to cover unforeseen expenses or chance obligations.

Rather, the estimates pertain to specifically authorized or approved programs.

Approximately, 62 percent of the Contingent Funds estimates relate to Members' official expenses and government contributions; include standing committees, special and select, and 88 percent of the contingent fund is represented.

We will now discuss each of the accounts in detail for standing committees, special and select.

The request for standing committees, special and select, for fiscal year 1991 is $83,168,000, and is the full amount requested by the committees.

For allowances and expenses as authorized by law, $226,700,000.

I would like, Mr. Chairman, by your leave, to put all of the explanatory material supporting these figures into the record.

Mr. **Fazio**. Without objection, we will place them into the record.

Mr. Traxler, any questions?

Mr. **Traxler**. No, sir.

Mr. **Fazio**. Let's proceed. I will also insert two questions to be answered for the record.

[The questions and responses and tables follow:]

STANDING COMMITTEES, SPECIAL AND SELECT

FUNDING AND STAFFING REQUESTS

FY 1990 AND FY 1991

Question. Tabulate Committee funding and staffing requests in the record.

Response. The table follows:

[Dollars in thousands]

Committee	FY 1990 personnel	Request funding	FY 1991 personnel	Request funding	Variance personnel	Variance funding
Agriculture	42	$2,262	46	$2,250	4	-$12
Armed Services	53	3,217	53	3,136		-81
Banking, Finance and Urban Affairs	83	3,898	93	4,653	10	755
District of Columbia	15	513	15	359		-154
Education and Labor	95	4,046	95	3,935		-111
Energy and Commerce	125	5,011	125	5,762		751
Foreign Affairs	68	3,834	74	3,815	6	-19
Government Operations	67	3,487	67	3,292		-195
House Administration	247	19,113	266	20,136	19	1,023
Interior and Insular Affairs	40	1,916	40	2,081		165
Judiciary	62	3,544	62	2,953		-591
Merchant Marine and Fisheries	55	2,352	55	2,733		381
Post Office and Civil Service	54	1,953	54	2,007		54
Public Works and Transportation	58	2,680	60	2,854	2	174
Rules	21	965	19	837	-2	-128

[Dollars in thousands]

Committee	FY 1990 personnel	Request funding	FY 1991 personnel	Request funding	Variance personnel	Variance funding
Science and Technology	59	3,251	62	2,891	3	-360
Small Business	28	1,185	28	1,171		-14
Standards of Official Conduct		1,300		1,500		200
Veterans' Affairs	14	919	15	782	+1	-137
Ways and Means	69	4,057	70	4,453	1	396
Aging	41	1,555	41	1,640		85
Children, Youth, and Families	22	861	22	834		-27
Hunger	15	648	15	648		
Intelligence		410		334		-76
Narcotics Abuse and Control	19	784	17	758	-2	-26
Ethics Act and 1991 COLA				7,354		7,354
Total	1,352	73,761	1,394	83,168	42	9,407

OFFICIAL EXPENSES OF MEMBERS

Question. For the record, give us a list of the items under official expenses of Members and the amounts requested. Indicate changes from FY 90, and the reasons for the change.

Response:

	FY 1990	FY 1991	Increase (decrease)
Official Expenses	$61,923,000	$66,924,000	$5,001,000
Off Line Items:			
SLUC—Common Areas	312,000	280,000	−32,000
Furnishings	1,028,000	700,000	−328,000
District Office Telephone	6,296,000	5,139,000	−1,157,000
FTS (Mileage)	(2,359,000)		(−2,359,000)
FTS usage (Entitlement lines)	(3,913,000)		(−3,913,000)
FTS (DC after hours)	(24,000)		(−24,000)
District Telephone (MCI)		(5,139,000)	(5,139,000)
DOPA (District Office Purchase Account)	5,713,000	5,655,000	−58,000
Total	$75,272,000	$78,698,000	$3,426,000

The increase in official expenses is due to full funding in FY 91 and an anticipated 2.5% inflationary increase in authorizations. (FY 90 is funded at 94.5% of full authorization).

The district offices' long distance telephone service, at the direction of the Committee on House Administration, will be assumed by the Office of Telephone Services. District offices are currently being provided with the Federal Telecommunication System, more commonly known as FTS. The current FTS will be replaced by a less expensive, software defined telecommunications network provided by MCI. Using MCI rather than FTS will save the House over $1.2 million annually.

The minimal decrease in the DOPA account is based on the stabilization of district office inventories.

STANDING COMMITTEES, SPECIAL AND SELECT

Mr. Chairman, the request for Standing Committees, Special and Select for FY '91 is $83,168,000 and is the full amount requested by the committees. This is an increase of $26,260,000 over the enacted FY '90 appropriation. These funds are used to pay the investigating staffs of Standing and Select Committees. In addition to personnel, they are used for nonpersonnel expenditures which are chargeable to the committees' funding resolutions.

The committees, in the aggregate, have requested 42 additional positions. What should be noted is that the committees requested $73,761,000 and 1,352 employees for FY '90 but were appropriated only $57,716,000, a reduction of some $16,000,000. Since committees are not limited by statute or rule as to the number of persons they may employ under this account, this reduction in funding, in effect, severely limited the ability of the committees to fill those requested new positions. In fact, as there are currently only 1,260 employees paid from this account versus the 1,352 requested by the committees last year, the action of this committee in reducing the requested funding had its anticipated effect.

The following summary of past years' authorizations gives an illustration of the amounts available through funding resolutions:

Calendar year	*Authorization*
1987—1st Session, 100th Congress	47,907,433
1988—2d Session, 100th Congress	50,673,708
1989—1st Session, 101st Congress	54,881,063

The funding for committees is authorized on a calendar year basis and appropriated on a fiscal year basis. As you know, Mr. Chairman, each committee is required to annually present its budget justifications to the Committee on House Administration.

I would like to insert for the record tables showing the various committee investigative funds authorized by the House for 1990, 1989 and 1988.

[The tables follow:]

STANDING COMMITTEES, SPECIAL AND SELECT

January 3, 1990 through February 28, 1990
H. Res. 346, March 15, 1990

COMMITTEE	AMOUNT AUTHORIZED	AMOUNT EXPENDED	BALANCE AVAILABLE
Agriculture	$2,016,015.00	$284,199.74	$1,731,815.26
Armed Services	$2,070,657.00	$238,296.28	$1,832,360.72
Banking, Finance and Urban Affairs	$4,045,000.00	$527,167.13	$3,517,832.87
District of Columbia	$324,512.00	$47,481.13	$277,030.87
Education and Labor	$3,686,681.00	$505,674.05	$3,181,006.95
Energy and Commerce	$5,491,231.00	$726,490.29	$4,764,740.71
Foreign Affairs	$3,369,145.00	$513,490.89	$2,855,654.11
Government Operations	$3,062,942.00	$467,652.35	$2,595,289.65
House Administration	$1,505,000.00	$156,999.39	$1,348,000.61
House Information Systems	$7,089,000.00	$1,880,328.35	$5,208,671.65
Interior and Insular Affairs	$1,873,875.00	$242,197.13	$1,631,677.87
Judiciary	$2,189,205.00	$327,291.61	$1,861,913.39
Merchant Marines and Fisheries	$2,211,483.00	$323,242.99	$1,888,240.01
Post Office and Civil Service	$1,737,075.00	$219,200.68	$1,517,874.32
Public Works and Transportation	$2,630,875.00	$325,301.80	$2,305,573.20
Rules	$672,413.00	$105,133.86	$567,279.14
Science and Technology	$2,637,645.00	$397,120.68	$2,240,524.32
Small Business	$1,006,395.00	$147,550.86	$858,844.14
Standards of Official Conduct	$500,000.00	$7,039.75	$492,960.25
Veterans' Affairs	$719,458.00	$80,098.76	$639,359.24
Ways and Means	$4,098,565.00	$486,629.00	$3,611,936.00
Select on Aging	$1,481,499.00	$210,067.56	$1,271,431.44
Select on Children, Youth and Families	$734,479.00	$97,507.24	$636,971.76
Select on Hunger	$628,505.00	$89,741.80	$538,763.20
Select on Intelligence	$305,000.00	$5,016.12	$299,983.88
Select on Narcotics Abuse and Control	$700,770.00	$96,176.75	$604,593.25
TOTAL	$56,787,425.00	$8,507,096.19	$48,280,328.81

January 3, 1989 through February 28, 1990
H. Res. 103, March 21, 1989

COMMITTEE	AMOUNT AUTHORIZED	AMOUNT EXPENDED	BALANCE AVAILABLE
Agriculture	$1,849,555.00	$1,662,327.89	$187,227.11
Armed Services	$1,980,746.00	$1,891,131.08	$89,614.92
Banking, Finance and Urban Affairs	$3,773,317.00	$3,423,000.71	$350,316.29
District of Columbia	$312,793.00	$299,616.75	$13,176.25
Education and Labor	$3,511,125.00	$3,354,966.81	$156,158.19
Energy and Commerce	$5,131,992.00	$5,092,931.38	$39,060.62
Foreign Affairs	$3,119,579.00	$3,069,187.71	$50,391.29
Government Operations	$2,931,045.00	$2,792,076.01	$138,968.99
House Administration	$1,200,000.00	$1,109,728.26	$90,271.74
House Information Systems	$6,950,000.00	$6,812,469.09	$137,530.91
Interior and Insular Affairs	$1,784,583.00	$1,730,248.14	$54,334.86
Judiciary	$2,094,933.00	$1,917,374.25	$177,558.75
Impeachment Hearings	$714,105.00	$626,627.65	$87,477.35
Merchant Marines and Fisheries	$2,101,848.00	$2,070,321.88	$31,526.12
Post Office and Civil Service	$1,633,873.00	$1,494,874.36	$138,998.64
Public Works and Transportation	$2,435,995.00	$2,153,081.00	$282,914.00
Rules	$646,762.00	$643,491.82	$3,270.18
Science and Technology	$2,442,264.00	$2,375,203.24	$67,060.76
Small Business	$968,858.00	$962,988.90	$5,869.10
Standards of Official Conduct	$1,500,000.00	$1,024,255.65	$475,744.35
Veterans' Affairs	$607,770.00	$599,510.73	$8,259.27
Ways and Means	$3,692,401.00	$3,414,347.27	$278,053.73
Select on Aging	$1,430,018.00	$1,337,808.64	$92,209.36
Select on Children, Youth and Families	$708,957.00	$649,087.68	$59,869.32
Select on Hunger	$606,665.00	$599,693.02	$6,971.98
Select on Intelligence	$100,000.00	$44,621.53	$55,378.47
Select on Narcotics Abuse and Control	$651,879.00	$638,322.41	$13,556.59
TOTAL	$54,881,063.00	$51,789,293.86	$3,091,769.14

January 3, 1988 through February 28, 1990
H. Res. 388, March 16, 1988

COMMITTEE	AMOUNT AUTHORIZED	AMOUNT EXPENDED	BALANCE AVAILABLE
Agriculture	$1,611,111.00	$1,446,510.29	$164,600.71
Armed Services	$1,657,528.00	$1,657,501.43	$26.57
Banking, Finance and Urban Affairs	$3,092,883.00	$2,961,923.84	$130,959.16
District of Columbia	$298,609.00	$284,274.19	$14,334.81
Education and Labor	$3,250,922.00	$3,240,402.71	$10,519.29
Energy and Commerce	$4,756,248.00	$4,727,756.38	$28,491.62
Foreign Affairs	$2,748,528.00	$2,742,577.39	$5,950.61
Government Operations	$2,731,633.00	$2,550,902.90	$180,730.10
House Administration	$1,109,634.00	$1,036,266.41	$73,367.59
House Information Systems	$7,200,000.00	$6,806,745.58	$393,254.42
Interior and Insular Affairs	$1,670,958.00	$1,660,992.03	$9,965.97
Judiciary	$1,923,722.00	$1,906,363.18	$17,358.82
Impeachment Hearings	$725,000.00	$562,950.56	$162,049.44
Merchant Marines and Fisheries	$1,974,493.00	$1,956,884.19	$17,608.81
Post Office and Civil Service	$1,495,536.00	$1,417,335.84	$78,200.16
Public Works and Transportation	$2,152,890.00	$1,909,397.55	$243,492.45
Rules	$583,984.00	$583,202.06	$781.94
Science and Technology	$2,220,240.00	$2,205,552.28	$14,687.72
Small Business	$925,808.00	$913,882.07	$11,925.93
Standards of Official Conduct	$1,300,000.00	$1,151,114.90	$148,885.10
Veterans' Affairs	$560,932.00	$555,886.87	$5,045.13
Ways and Means	$3,326,487.00	$3,219,367.68	$107,119.32
Select on Aging	$1,388,367.00	$1,313,921.97	$74,445.03
Select on Children, Youth and Families	$688,308.00	$664,781.61	$23,526.39
Select on Hunger	$588,995.00	$558,877.00	$30,118.00
Select on Intelligence	$58,000.00	$53,483.74	$4,516.26
Select on Narcotics Abuse and Control	$632,892.00	$615,091.61	$17,800.39
TOTAL	$50,673,708.00	$48,703,946.26	$1,969,761.74

STANDING COMMITTEES, SPECIAL AND SELECT, APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$54,092,000	$57,716,000	$83,168,000
Transfer	(2,000,000)		
Sequester		808,000	
Expenditures	40,981,000	12,965,000	
Unexpended balances	11,111,000	43,943,000	83,168,000

Allowances and Expenses

For allowances and expenses as authorized by law, $226,700,000. Included in this amount are the following accounts which I shall discuss individually:

ALLOWANCES AND EXPENSES, APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$177,163,000	$187,099,000	$226,700,000
Transfer	(1,500,000)		
Sequester and emergency drug funding		4,771,000	
Expenditures	159,327,000	31,270,000	
Unexpended balances	16,336,000	151,058,000	226,700,000

Official Expenses of Members

For Official Expenses of Members, $78,698,000. Appropriations for this account cover the ordinary and necessary official nonpersonnel expenses which Members incur in performing their representational duties. The full authorized funding level for this account is requested.

OFFICIAL EXPENSES OF MEMBERS, APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$82,068,000	$76,341,000	$78,698,000
Transfer	(12,650,000)		
Sequester		1,069,000	
Expenditures	59,027,000	12,754,000	
Unexpended balances	10,391,000	62,518,000	78,698,000

Supplies, Materials, Administrative Costs and federal Tort Claims

For Supplies, Materials, Administrative Costs and Federal Tort Claims, $19,926,000.

Some of the larger items which cannot be directly charged to another allowance or authorization include payment for Members' copies of the United States Code, administrative telephone expenses, and computer reimbursements to House Information Systems (H.I.S.) for House Officers.

The following analysis compares the increases and decreases in the FY '91 request with amounts appropriated for FY '90.

SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS ANALYSIS OF INCREASES/DECREASES

	1990	1991	Increase/ Decrease
Supplies and Materials	$2,174,000	$2,425,000	+$251,000
Administrative Costs:			
Telephone	8,140,000	6,486,000	−1,654,000
Stationery	1,045,000	1,100,000	+55,000
Equipment	2,582,000	4,395,000	+1,813,000
Computer	5,636,000	5,520,000	−116,000
Total	19,577,000	19,926,000	+349,000

SUPPLIES, MATERIALS, ADMINISTRATIVE COSTS AND FEDERAL TORT CLAIMS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal Years		
	1989	1990	1991
Total Appropriations	$11,701,000	$19,577,000	$19,926,000
Transfer	11,500,000		
Sequester and Emergency Drug Funding		2,425,000	
Expenditures	19,760,000	2,659,000	
Unexpended balances	3,441,000	14,493,000	19,926,000

EQUIPMENT, PURCHASE, LEASE AND MAINTENANCE

For net expenses of Purchase, Lease and Maintenance of Office Equipment, $10,770,000.

EQUIPMENT, PURCHASE, LEASE AND MAINTENANCE APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal Years		
	1989 [1]	1990	1991
Total appropriations	$9,492,000	$9,276,000	$10,770,000
Transfer	(5,500,000)		
Sequester		130,000	
Net Expenditures	2,430,000	(4,493,000)	
Unexpended balances	1,562,000	13,639,000	10,770,000

[1] Extracted from Supplies, Materials, Administrative Costs and Federal Tort Claims.

OFFICE EQUIPMENT BUDGET SUMMARY

	FY 1989 actual	FY 1990 estimate	FY 1991 estimate
Washington:			
Purchase	$13,000,000	$12,774,000	15,535,000
Lease	2,406,000	2,136,000	2,847,000
Maintenance Contracts	8,979,000	9,015,000	15,156,000
Service	225,000	262,000	270,000
Parts	200,000	200,000	275,000

OFFICE EQUIPMENT BUDGET SUMMARY—Continued

	FY 1989 actual	FY 1990 estimate	FY 1991 estimate
Subtotal	24,810,000	24,387,000	34,083,000
User fees	(21,076,000)	(20,954,000)	(28,968,000)
D.C. total	3,734,000	3,433,000	5,115,000
District Office:			
Equipment Purchase	2,855,000	3,110,000	3,440,000
Furniture/carpet/drapes	161,000	300,000	265,000
Maintenance Contracts	1,165,000	2,135,000	1,747,000
Service	140,000	152,000	183,000
Shipping	20,000	16,000	20,000
D.C. Total	4,341,000	5,713,000	5,655,000
Net Cost	8,075,000	9,146,000	10,770,000

FURNITURE AND FURNISHINGS

For Furniture and Furnishings, $2,410,000. This appropriation funds the acquisition of furniture, carpets, draperies, lamps, file cabinets, and other furnishings which the Office of the Clerk provides the House office buildings, the two annexes and the House side of the Capitol. Also, funds are included for supplies, materials and tools used by the various shops operating under the Clerk's Property Supply and Repair Service.

Mr. Chairman, $1,000,000 has been included to procure modern modular furniture so that we may test its feasibility for use in the House. Great claims are made for this type of furniture with respect to space savings and enhanced work environment which we wish to evaluate before embarking on any acquisition program.

The funds requested for FY '91 are budgeted as follows:

(1) Supplies and Materials	$520,000
(2) Furniture and Equipment	380,000
(3) New Carpet	420,000
(4) Purchase of Drapery Material, Cleaning, etc.	90,000
(5) Modular Furniture Test	1,000,000
Total	2,410,000

FURNITURE AND FURNISHINGS, APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$1,265,000	$1,130,000	$2,410,000
Transfer	150,000		
Sequester		16,000	
Expenditures	1,383,000	148,000	
Unexpended balances	32,000	966,000	2,410,000

STENOGRAPHIC REPORTING OF COMMITTEE HEARINGS

For Stenographic Reporting of Committee Hearings, $950,000. This request includes costs of stenographic services and transcripts covered by commercial reporting firms in connection with any meetings or hearings of a committee, including Standing Committees, Special and Select. We prefer to use our own House reporters but are unable to staff all hearings. The increase requested is to fund the page rate increase that has been approved by the Committee on House Administration.

STENOGRAPHIC REPORTING OF COMMITTEE HEARINGS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$800,000	$800,000	$950,000
Sequester		11,000	
Expenditures	626,000	66,000	
Unexpended balances	174,000	723,000	950,000

REEMPLOYED ANNUITANTS REIMBURSEMENT

For Reemployed Annuitants Reimbursement, $1,398,000. These funds are required to compensate the Civil Service Retirement Fund for an amount equal to the annuities paid employees who retired under the Civil Service Retirement System (CSRS) and then accepted House employment.

REEMPLOYED ANNUITANTS REIMBURSEMENT APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$1,380,000	$1,380,000	$1,398,000
Sequester		19,000	
Expenditures	996,000	205,000	
Unexpended balances	384,000	1,156,000	1,398,000

GOVERNMENT CONTRIBUTIONS

For Government Contributions, $111,926,000. The funds for this account are used to pay the Government's (House) share of various employee programs. It is estimated that for every dollar paid to an employee the House will pay 26.5 cents for benefits. This is up from 23.6 cents for 1989 and is attributable to the increase in health insurance and the continuing shift in population from CSRS to Federal Employees' Retirement System (FERS). As of December 31, 1989, the number of House employees participating in CSRS declined to 3,324 with further reductions anticipated. The programs are categorized as follows:

	FY 1989 actual	FY 1990 actual [1]	FY 1991 Estimate
Civil Service Retirement	$10,055,000	$ 1,790,000	$11,446,000
Medicare	4,663,000	583,000	5,280,000
FICA/FERS	45,819,000	7,033,000	70,070,000
Health Benefits	11,883,000	1,668,000	20,484,000
Life Insurance	573,000	89,000	718,000
Unemployment/Workers' Compensation	1,535,000		3,928,000
Total	74,528,000	11,163,000	111,926,000

[1] Includes figures through November 1989.

GOVERNMENT CONTRIBUTIONS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$69,835,000	$77,973,000	$111,926,000
Transfer	5,000,000		
Sequester		1,092,000	
Expenditures	74,528,000	19,893,000	
Unexpended balances	307,000	56,988,000	111,926,000

MISCELLANEOUS ITEMS

For Miscellaneous Items, $622,000. This is the same amount as enacted in FY '89 and FY '90. These funds include gratuities paid to the widow, widower or heirs-at-law of deceased employees of the House, for which we are requesting $507,000. Also appropriated are $60,000 for expenditures including but not limited to the purchase, exchange, maintenance, repair, and operation of House motor vehicles. Additionally, $55,000 is included for Interparliamentary Receptions as authorized by law.

MISCELLANEOUS ITEMS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$622,000	$622,000	$622,000
Sequester		9,000	
Expenditures	577,000	38,000	
Unexpended balances	45,000	575,000	622,000

TELEPHONE SAVINGS

Mr. **Fazio**. I am particularly interested in knowing the amount of savings we can expect on the telephone system installations? How much have we saved in the past and how much will we be able to save in the future?

The committee is very interested in this area, as you know.

Mr. **Anderson**. Mr. Chairman, Ms. Susan Zeleniak, the Director of the Office of Telephone Services for the Clerk, is with us today. She is a familiar face and voice at these hearings.

Mr. **Fazio**. Yes, we didn't want to let her page go by.

This is your fifth appearance? How much have you saved us?

Ms. **Zeleniak**. Two million dollars in 1989 over previous expenses in local service and telephone equipment.

In addition to that, we also saved another $2.5 million in long distance when compared to costs before the new house telephone system was installed.

In this coming year, we expect to save another $2 million in equipment, almost another million dollars in long distance, and in 1991, we are expecting to save $3 million in local service and equipment.

For the life of the system 85 contract with AT&T, we should save over $20 million in equipment and local service.

METHOD OF TELEPHONE SAVINGS

Mr. **Fazio**. I would appreciate it, for the benefit of people who haven't been with us over the years, if you could outline how this occurs?

How have we been able to do this?

Ms. **Zeleniak**. Prior to the contract with AT&T for the telephone system, we subscribed to the local service known as Centrex from the local telephone company.

We were subject to regular rate increases with that service.

We also leased all of the telephones from AT&T.

In 1987 we purchased the telephone switching system rather than lease it from a local telephone company and purchased the telephones as well.

Now we pay local service charges to C&P for our access lines and we pay a maintenance charge to AT&T to maintain the equipment. But those charges are significantly less than they would have been under our old arrangement. Because we own the phone system, we have been able to make changes in our long distance services that have saved us money.

Mr. **Fazio**. Any questions for Susan? I will insert a question in the record at this point.

[The question and response follow:]

Telephone Savings

Question. For the record, update the savings tabulation on page 28 of last year's hearings.

Response:

	1986	1989	Savings
Long Distance	$7,600,000	$4,827,000	$2,773,000
Local Service	3,000,000	1,844,000	1,156,000
Equipment	2,600,000	1,877,000	723,000
Totals	13,200,000	8,548,000	4,652,000

The House can expect to continue to realize savings as a result of the purchase of the telephone system. Long distance costs are expected to decrease by an additional $800,000 in FY '90. Local service and equipment costs will show a two million dollar savings in 1990 when compared to 1986 expenses.

LONG DISTANCE SERVICE

Mr. **Traxler**. I am not sure Susan is the right person. Our district FTS costs have gone, in 12 months, up between five and six hundred dollars.

Ms. **Zeleniak**. For what?

Mr. **Traxler**. For five FTS lines in two district offices. We can't get into the commercial long distance service.

In other words, service has gone down, costs have tripled in 12 months.

How do you explain it?

Ms. **Zeleniak**. Let me take one step backwards regarding FTS.

GSA provides local service and they provide long distance. FTS is the long distance portion of that service.

I am not sure the bill you are getting is for local service or for long distance.

Mr. **Traxler**. Only long distance.

Ms. **Zeleniak**. Three of your FTS lines should be paid by the Committee on House Administration.

Mr. **Traxler**. We are still paying about $550.

Ms. **Zeleniak**. We have to look at yours separately. I should also let you know that FTS will be replaced. Congressman, I think your offices are scheduled in early March.

The FTS will be replaced with the new MCI service.

Mr. **Traxler**. Yes, we know that.

How much more will that cost me?

Ms. **Zeleniak**. It shouldn't cost you any more.

Mr. **Traxler**. Will it save me money?

Ms. **Zeleniak**. That is yet to be seen.

Mr. **Traxler**. I can't stand any more progress.

Ms. **Zeleniak**. It will save compared to the FTS 2000. It will save at least 25 percent.

Mr. **Traxler**. Can we go back to the old system with the same rates? Can I cut a deal with you? Can you take me back a year ago with the same rates and the same service?

Mr. **Lewis**. Susan and I have had this discussion.

Mr. **Traxler**. We are the victims of technology, Mr. Lewis. We know who the bad guys are.

Ms. **Zeleniak**. You won't have that service in another month, and then we can control the costs.

Mr. **Traxler**. I will get another improved service?

Ms. **Zeleniak**. Yes, I guarantee it.

Mr. **Traxler**. And I know what that means.

Ms. **Zeleniak**. Better service.

Mr. **Traxler**. Do you promise?

Ms. **Zeleniak**. Better service.

Mr. **Fazio**. After this hearing, more attention, certainly.

Mr. **Traxler**. Early March?

Ms. **Zeleniak**. Yes.

Mr. **Traxler**. It sounds like a courtship promise to me, based on what the budget is.

Thank you.

Ms. **Zeleniak**. You are welcome.

Mr. **Fazio**. Thank you, Susan.

CLOSED CAPTIONING OF HOUSE PROCEEDINGS

Are there any other questions for Susan? Let's talk about office equipment, do you have funds for closed captioning in this equipment item?

Mr. **Anderson**. Yes, sir.

Mr. **Fazio**. We are very interested in closed captioning.

Mr. **Anderson**. There is $750,000 for closed captioning of House proceedings. As you are aware, during the last year there was a change in leadership. The Clerk had submitted his recommendations to our former Speaker on our evaluation of how best to proceed?

Speaker Foley has those recommendations under review and has yet to give the Clerk directions as to how we should proceed in implementing close captioning.

However, it is proceeding a pace. We have given it a very high level of interest and are in agreement with all that this is in the very best interest of our hearing-impaired citizens, who should have the same access as others to the proceedings of the House.

Mr. FAZIO. All proceedings of the House?

Mr. ANDERSON. All proceedings of the House would be closed captioned, gavel to gavel.

SURPLUS EQUIPMENT AND FURNITURE

Mr. FAZIO. I would like to ask a question about the distribution of excess furniture. Does someone want to give me a progress report? Remember, you requested permission of us to sell or auction or to donate to state and local agencies, and that authority was enacted.

I am wondering what is the current status of the excess furniture including televisions and typewriters.

Mr. ANDERSON. We have been selling equipment, but not furniture.

Mr. FAZIO. How are the equipment sales proceeding? Are you making any money?

Mr. ANDERSON. We made $69,000 during the last calendar year.

Mr. FAZIO. You freed up a lot of storage space.

Mr. ANDERSON. Yes, and that is very important.

Mr. FAZIO. Have you started donating furniture to other levels of government? Are you doing that?

Mr. ANDERSON. Not yet, Mr. Chairman.

Mr. FAZIO. Is that the intent currently?

Mr. ANDERSON. Most of the furniture that we would have to donate would be considered a rather unworthy gesture.

Mr. FAZIO. Well, we were asked to provide the authority, so dutifully we did. We wondered what resulted from that grant of authority.

LONGEVITY OF HOUSE FURNITURE

Mr. TRAXLER. Out of curiosity, Donn, regarding office furniture in the Members' offices, what is the lifetime of a couch or a chair that we have? Have you any knowledge? Did it come with the building?

Mr. ANDERSON. It is almost indefinite. Some of the furniture we have is original 1908 Cannon Building furniture that is constantly recycled through the maintenance and repair cycle and put back into service.

Mr. LEWIS. The large black ones have to last forever because you have to resew them every other month.

Mr. ANDERSON. So unless there is some very unusual damage to a piece that would render it irreparable, the life is just indefinite.

Mr. **Fazio**. Is that service performed in your office, Donn? Because there are several shops that I know are available to the House, I am not always sure which shop does what.

MAINTENANCE OF FURNITURE AND FURNISHINGS

Mr. **Anderson**. The Office of Property Supply, one of my offices, operates the various shops to maintain, refinish, and repair our furniture. We do our own drapery work and carpet installation. It is quite an operation.

Mr. **Fazio**. Yes, I think it is quite impressive, actually.

Mr. **Anderson**. We would be very happy, and certainly our skilled craftsmen in the shops would be, as well, if Members of this committee had some convenient time to come by and inspect our operations.

Mr. **Fazio**. So what you are saying, though, to sum up from where we started, is that there is very little furniture that isn't somehow reconditioned, put back into service by these people?

Mr. **Anderson**. Yes, we have a regular maintenance cycle. For instance, if your receptionist's chair breaks, we don't take it away, fix it and bring it back. We bring the receptionist an identical replacement, put the broken chair into the repair cycle and back into inventory, so that there is no delay and the person doesn't have to sit on a crate while his or her chair is out for repair.

The furniture in this room was similarly done. Hopefully to your satisfaction.

Mr. **Fazio**. yes, as a matter of fact, it was. It looks like it has been maintained fairly well. We just had this felt replaced. I noticed, by the way, the felt on Mr. Bevill's hearing room table needs replacement.

You might want to write a note to yourself. I happened to be in a meeting there this morning.

Mr. **Anderson**. Of course I don't put one subcommittee of appropriations above another in priority. It just happened that the legislative branch happened to come up first on the list.

Mr. **Fazio**. Go ahead, Mr. Lewis.

Mr. **Lewis**. I have some questions on life insurance.

Mr. **Fazio**. All right. Why don't you go ahead and ask your questions?

TERM LIFE INSURANCE

Mr. **Lewis**. Under the listing of benefits, the actual costs and estimated costs, because I am an old life underwriter I find myself often talking to newer Members regarding some of our benefits packages, and in the time I have been here I have been most disappointed that I have consistently recommended to newer Members that, presuming they can pass a physical examination that they ought to buy their term life insurance outside of the group and individual contracts that are convertible to private coverage rather than join the group, because the premium is so ridiculously high on a comparison basis.

I have fudged around this for several years, but let me ask the question for the record directly. When did we last put that term life insurance out to bid in terms of that available to House Members and our staffs and if it hasn't been recently, why hasn't it been recently, and shouldn't we do it at least every two or three years because the market changes a lot?

Mr. ANDERSON. I am going to defer to Bob McGuire to respond.

Mr. MCGUIRE. Mr. Lewis, both the health and life insurance programs available to Members and congressional employees are the group health and group life insurance programs that are government-wide; that is, the entire Federal Government.

The Office of Personnel Management is the contractor for those services. The House does not contract directly. We only participate in the programs that are managed by the Office of Personnel Management. They are the ones who go to the insurance underwriters and develop both the health plans and the life insurance plan.

It has not been out for bid and it has not been reviewed for bid in a long time. We have not had an open season for some 10 years. We had one in 1981, which was the last open season on life insurance.

LIFE INSURANCE OPEN SEASON

Mr. LEWIS. Frankly, I think not from this committee, but from the House, send a very strong message to the Office of Personnel Management that this is long overdue and it ought to be regular and make a formal request that they do so.

Mr. FAZIO. How long has it been since the open season?

Mr. LEWIS. 1981 is ridiculous.

Mr. MCGUIRE. For life insurance, 1981 was the last one. I know the committee on Post Office and Civil Service, which of course has the legislative jurisdiction for the Office of Personnel Management is reviewing the overall government insurance programs right now. I believe their emphasis is on health insurance, I am not sure if they are considering life insurance.

Mr. LEWIS. Frankly, why don't we some way formally from this committee let the Post Office and Civil Service Committee know that we are concerned about it?

It is crazy that we don't have options from two or three life companies that people can select from as we do on the health side. It is also crazy for me to find myself in the circumstance of telling a Member who is 50 years of age that he can buy it cheaper on the private market place when you have this size of group.

I mean, that is just crazy.

Mr. FAZIO. That does seem to make a lot of sense, Mr. Lewis. I can't imagine why OPM wouldn't have gone out to bid in a period extending over a decade.

Mr. MCGUIRE. It is not going out to bid. When I say "open season", an open season similar to the ones we have on health insurance so that on an annual basis the participants can decide to participate or not participate.

LIFE INSURANCE ADVERSE SELECTION

Mr. LEWIS. The problem with that on the life insurance side is a thing called "adverse selection". There is a tendency for the people who couldn't get it elsewhere to be the only ones who joined a group, but when you have a group this size, it is very apparent that if you go to the marketplace every 2 or 3 years that, indeed, you are going to stay on the competitive edge, and while we ought to be careful about the adverse selection, to not have had a bid or a consideration for a long time is crazy.

I no longer accept new commissions, by the way. That is not the purpose of this.

Mr. Fazio. For the ethical record, he is doing this as a friend.

Mr. McGuire. We will query OPM and try to get an answer for the record on the status and what, if any, plans they have.

[A copy of the letter follows:]

Donald K. Anderson
Clerk

R. S. McGuire, Chief
Office of Finance

Office of the Clerk
U.S. House of Representatives
Washington, DC 20515-6601

February 2, 1990

Ms. Ellen Goodwin
Office of Personnel Management
Retirement and Insurance Policy
1900 E. Street N. W.
Washington, D.C. 20415

Dear Ms. Goodwin:

At a recent Appropriations subcommittee hearing, the issue of life insurance as provided to federal workers was discussed.

Several Members expressed displeasure with the program in its present form. The current group life insurance program does not appear to be competitive with programs available in the private sector.

Please advise us of any plans to review the current program. Is there a formalized bidding process involved, and if so, how often does it occur. Are there any plans for offering more than one plan, such as is done with the health insurance plans?

So that we may respond to the committee, a prompt response is requested.

Sincerely,

/s/

R. S. McGuire, Chief
Office of Finance

Mr. Lewis. If you would query, and perhaps help us draft a letter that at least Mr. Fazio and I could sign or otherwise let the committee know of our concern.

RETIREMENT PROGRAM INVESTMENTS

Mr. Fazio. Could I ask you to check into one other thing?

Maybe you are aware, Bob, why does the 401 K-type program under the Civil Service Retirement System restrict CSR employees from the Treasury Bill investments, unlike the FERS employees, who are allowed to invest in bonds and stocks? Do you know?

Mr. McGuire. It is the statute. It is the way the law was written.

Mr. Fazio. What was the rationale for that? Just to help deficit reduction?

Mr. Traxler. It is our contribution.

Mr. McGuire. I think the rationale was to make the FERS program attractive and really the provision that allows the CSR people to participate in the TSP program was in some instances, I assume, to give equity to the CSR people.

Otherwise, they would have had nothing to choose from or they could only participate in independent IRAs, which was the situation before the FERS law came into effect.

Mr. Fazio. Now that the legislation has passed and all new employees are under FERS, there are few, if any, opportunities to join FERS for existing Civil Service Retirement System people. It would seem to me that more equitable and equivalent treatment should be afforded to all employees.

HEALTH BENEFITS INCREASE

I also would like to ask about the increasing cost of health benefits, speaking of adverse selection. We have what appears to be a $10 million increase in 1 year for our employees. Could you describe this situation?

Mr. McGuire. Last year the health insurance premiums went up an average of about 25 percent. The first of this month, January of 1990, this year's premiums went up about 13 percent, and the numbers you see reflected here are basically assuming that trend is going to continue. The cost, the increase in the cost of health coverage is a nationwide situation.

I am sure that we are all aware that it is happening. I don't know that there is any way that we can get any control on it, quite frankly. I am sure that is part of the issue.

Mr. Fazio. We are waiting for a study to be completed, hoping something can be done with the system. Any other questions?

Yes, Mr. Traxler.

HEALTH BENEFITS OPTIONS FOR DISTRICT OFFICE EMPLOYEES

Mr. Traxler. Mr. Chairman, on that point, Bob, I get complaints from the District Office Staff. They don't have available for them the choices that staff in the DC area have, and I can understand some of the reasons for that, but can you explain why they have such fewer health options?

Mr. McGuire. Well, the program, as it is set up, falls into two basic categories. The first is what I would call the universal coverage, the Blue Cross/Blue Shield, and some of those types of groups, BACE and so on and so forth.

The ones that become regionally specific are usually the HMOs, and so the number of HMOs that are going to be available to your Washington group is basically the number of HMOs that are in the Washington metropolitan area as opposed to what would be available in your home area.

Mr. **Traxler**. Just a few. How many of the national groups are there, to your knowledge?

Mr. **McGuire**. I think we have about ten by the time you go down the list with Blue Cross/Blue Shield, GEHA, Postal Workers, so on and so forth.

Mr. **Traxler**. They can participate in those plans. But it is the HMOs where they are much more limited because they are local in nature.

Thank you very much.

Mr. **Fazio**. Are there any other questions for Mr. Anderson?

Please proceed, Donn.

Mr. **Anderson**. We have a few more things to cover, Mr. Chairman. Let me insert, by your leave, the item on the Committee on Appropriations.

Mr. **Fazio**. Thank you very much.

[The table follows:]

COMMITTEE ON APPROPRIATIONS (STUDIES AND INVESTIGATIONS)

For salaries and expenses, studies and examinations of executive agencies, and temporary personal services for the Committee on Appropriations, including reimbursement to agencies for services performed, $6,120,000.

COMMITTEE ON APPROPRIATIONS (STUDIES AND INVESTIGATIONS) APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$4,429,000	$4,660,000	$6,120,000
Sequester		65,000	
Expenditures	4,327,000	536,000	
Unexpended balances	102,000	4,059,000	6,120,000

SALARIES, OFFICERS AND EMPLOYEES

Mr. **Anderson**. For compensation and expenses of salaries, officers and employees as authorized by law, $49,173,000. Beginning with my own office, the first office to be discussed under salaries, officers and employees, is my own, The Clerk of the House. I would like to insert pages 26 through 28 of my testimony at this point.

[The information follows:]

SALARIES, OFFICERS AND EMPLOYEES

For compensation and expenses of Salaries, Officers and Employees as authorized by law, $49,173,000.

I shall list the amounts presently estimated for each office. The funding under this heading is principally for personnel costs. I will point out those offices which have nonpersonnel amounts or Lump Sum Allowances as each request is presented.

In most instances, the increases over FY '90 are for the January 1, 1990, Federal Pay Comparability Adjustment for all House employees. Each House Officer will discuss his various operations as we consider the budgeted amounts.

SALARIES, OFFICERS AND EMPLOYEES APPROPIRATIONS, ACUTAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$35,561,000	$39,595,000	$49,173,000
Transfer	904,000		
Sequester		555,000	
Expenditures	35,953,000	9,116,000	
Unexpended balances	512,000	29,924,000	49,173,000

OFFICE OF THE CLERK

The first office to be discussed under the category of "Salaries, Officers and Employees" is my own—Clerk of the House. I will follow with a brief summary of the budget figures for each House officer and other vital House offices. The respective leaders of these offices will then summarize their operations and take your questions.

The Clerk's fiscal year 1991 proposed budget totals $22,326,000, which is $5,057,000 over the funds appropriated for the current budget year. The increase is not attributed to any single factor, but includes several reasons for the higher funding. The estimate is based on the authorized salaries for the more than 562 employees in the several offices managed by the Clerk; longevities in salaries authorized in the House Employees Classification Act; justified merit increases; the annualization of comparability or any other changes in salary authorized within my office; a summer intern program; and any employees authorized by the Committee on House Administration.

Mr. Chairman, I would like to place in the hearing record a chart to illustrate the organization within my office and to mention in the way of commendation various key staff in my office and the chiefs of all departments.

I have mentioned the Deputy Clerk, Mr. Colley, and Mr. McGuire, Chief of the Finance Office, and his associates. I would also like to have this hearing record reflect my appreciation for three other principal assistants in my immediate office; Dallas Dendy, William R. Long and Dolores Snow; our General Counsel, Steven R. Ross; my Deputy at the Federal Election Commission, Douglas J. Patton; my Administrative Assistant, Ann Fletcher; and the entire staff in my Capitol Office. It is an excellent team.

The chiefs of the various offices shown in the chart, along with Mr. McGuire, are: Office of Telephone Services, Susan L. Zeleniak; Office Equipment Service, Robert E. Shea; Office Supply Service, Ray M. Young; LEGIS Office, Anne L. Bartlett; Office of Legislative Operations, John P. Jenkins; Office of Official Reporters of Debate, Charles Gustafson; Office of Official Reporters to House Committees, Ray A. Boyum; Office of Printing Services, Joe Simpson; House Recording Studio, William C. Moody; Property Supply Service, Edward T. Kellaher; Office of Records and Registration, Patricia A. Bias; House Library, Emmanuel R. Lewis; House Placement Office, John A. McDermott; and Legislative Computer Systems, Thomas J. Hawk. A new department now established under the Clerk for administrative purposes, and headed by William Baranowski, is the Office of Fair Employment Practices.

I have previously advised the Subcommittee in these hearings of the annual reports that are prepared by each of my offices. Because of the earlier date established for the hearings this year, the reports for the last Calendar Year, 1989, were not completed when this trestimony was prepared. However, I will make the reports available for your staff to review when they have been collected.

In connection with today's hearing, I have asked the following staff to be here and to respond to any questions you may have regarding their work: Mr. Ross, General Counsel, Ms. Zeleniak, Office of Telephone Services, and Mr. Baranowski, Director of the Office of Fair Employment Practices.

Mr. **Anderson**. I will follow with a brief summary of the budget figures for each House officer and other vital House officials. Their respective officers and chiefs of these offices will then summarize their operations and respond to your questions.

Mr. **Fazio**. Before you do that, Donn, I hope you intend to introduce your staff in addition to those you have already introduced.

Mr. **Anderson**. I am, Mr. Chairman. Thank you.

Mr. **Fazio**. I wanted to give you that encouragement to take that amount of time.

OFFICE OF THE CLERK

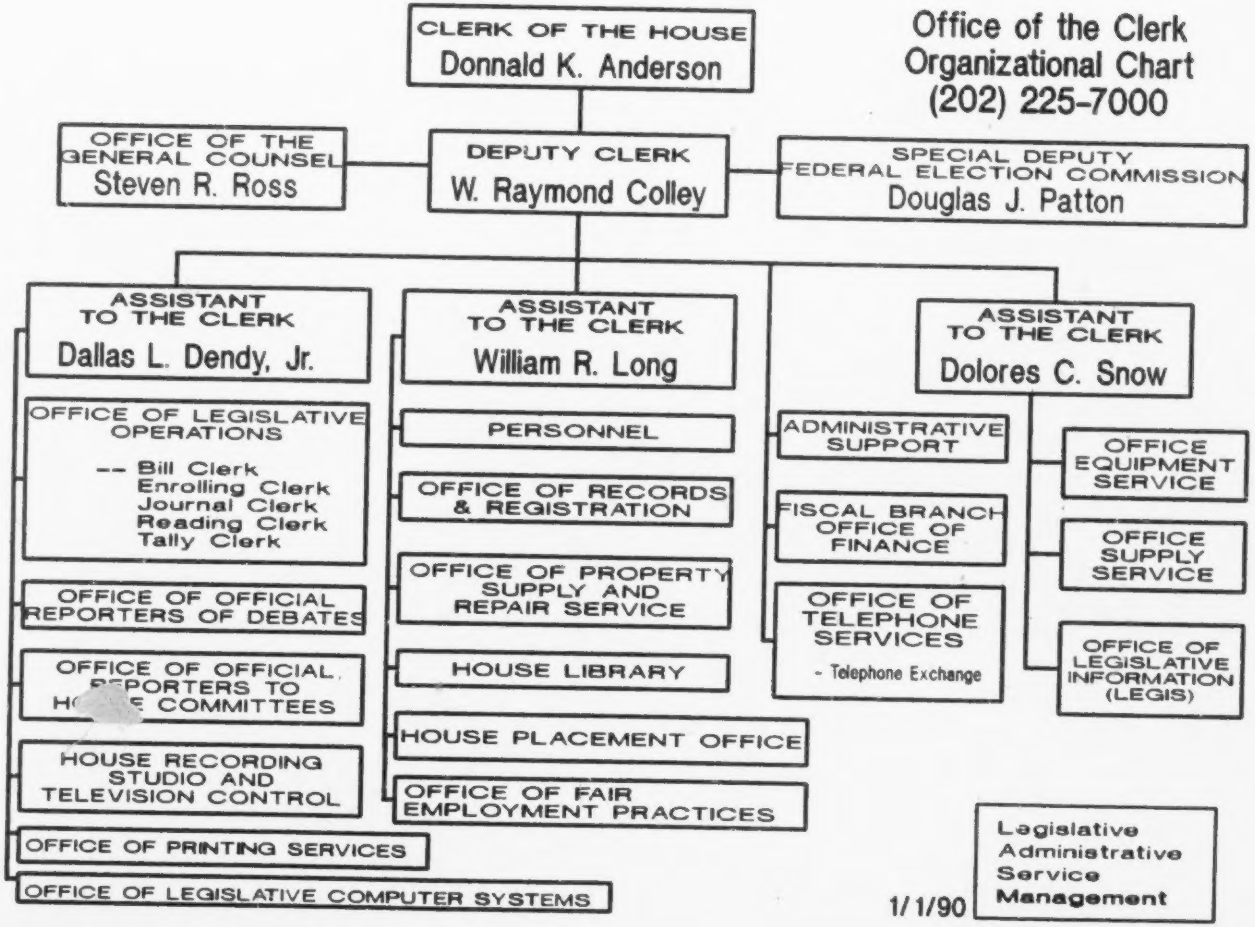
Mr. **Anderson**. The Clerk's fiscal year 1991 proposed budget totals $22,326,000, which is $5,057,000 over the funds appropriated for the current budget year. The increase is not attributed to any single factor, but includes several reasons for the higher funding.

The estimate is based on the authorized salaries for the 538 current employees and an anticipated 24 new employees in the several offices managed by The Clerk. Longevities in the salaries authorized in the House Employees Classification Act, justified merit increases, the annualization of comparability or any other changes in salary authorized within my office, a summer intern program and any employees authorized by the Committee on House Administration.

Mr. Chairman, I would like to place in the hearing record a chart to illustrate the organization within my office and to mention in the way of commendation various key staff in my office and the chiefs of the departments.

[The information follows:]

Office of the Clerk Organizational Chart (202) 225-7000


CLERK OF THE HOUSE
Donnald K. Anderson
OFFICE OF THE GENERAL COUNSEL
Steven R. Ross
DEPUTY CLERK
W. Raymond Colley
SPECIAL DEPUTY FEDERAL ELECTION COMMISSION
Douglas J. Patton
ASSISTANT TO THE CLERK
Dallas L. Dendy, Jr.
OFFICE OF LEGISLATIVE OPERATIONS
-- Bill Clerk
Enrolling Clerk
Journal Clerk
Reading Clerk
Tally Clerk
OFFICE OF OFFICIAL REPORTERS OF DEBATES
OFFICE OF OFFICIAL REPORTERS TO HO[illegible]E COMMITTEES
HOUSE RECORDING STUDIO AND TELEVISION CONTROL
OFFICE OF PRINTING SERVICES
OFFICE OF LEGISLATIVE COMPUTER SYSTEMS
ASSISTANT TO THE CLERK
William R. Long
PERSONNEL
OFFICE OF RECORDS & REGISTRATION
OFFICE OF PROPERTY SUPPLY AND REPAIR SERVICE
HOUSE LIBRARY
HOUSE PLACEMENT OFFICE
OFFICE OF FAIR EMPLOYMENT PRACTICES
ADMINISTRATIVE SUPPORT
FISCAL BRANCH OFFICE OF FINANCE
OFFICE OF TELEPHONE SERVICES
- Telephone Exchange
ASSISTANT TO THE CLERK
Dolores C. Snow
OFFICE EQUIPMENT SERVICE
OFFICE SUPPLY SERVICE
OFFICE OF LEGISLATIVE INFORMATION (LEGIS)
1/1/90
Legislative Administrative Service Management

Mr. ANDERSON. I have already mentioned the Deputy Clerk, Mr. Colley, upon whom I daily rely, as I do Mr. McGuire, the Chief of Finance and his associates, and I would also like to have this hearing record reflect my appreciation for my three other principal assistants in my immediate office: Dallas Dendy, a friend to all of us of many years; William R. Long; and Dolores Snow; our General Counsel, Steve Ross who is here today, my Deputy at the Federal Election Commission, Douglas J. Patton; my Administrative Assistant and constant support, Ann Fletcher, and the entire staff in my Capitol Office.

It is, indeed, an excellent team. The chiefs of the various offices shown in the chart, along with Mr. McGuire, are from the Office of Telephone Services: Susan Zeleniak from whom we have just heard; Office Equipment: Robert E. Shea; Office Supply Service, Ray Young; the Legis Office, Ann Bartlett.

Mr. TRAXLER. Would they raise their hands?

Mr. ANDERSON. Most of them aren't here.

Mr. TRAXLER. All right. Thank you.

Mr. ANDERSON. They would outnumber the committee, and we just didn't want to come up here and look intimidating.

Mr. TRAXLER. We understand.

Mr. ANDERSON. John Jenkins, from the Office of Legislative Operations; from the Official Reporters of Debates, Charles Gustafson; Office of Official Reporters to House Committees, Ray Boyum; Office of Printing Services, Joe Simpson; the House Recording Studio, William C. Moody; Property Supply Service, Edward Kelaher; Office of Records and Registration, Patricia A. Bias; House Library, Emmanuel R. Lewis; House Placement Office, John A. McDermott; Legislative Computer Systems, Thomas J. Hawk.

A new department now established under the Clerk for administrative purposes and headed by William Baranowski is the Office of Fair Employment Practices, of which you just had a discussion.

I have previously advised the subcommittee in these hearings of the annual reports that are prepared by each of my offices. At this point I would submit for the record some brief excerpts from those annual reports.

[The information follows:]

Office of the Clerk of the House - Budget Testimony

Mr. Chairman, I shall place in the record brief comments on 1989 activities in my immediate office and the various Clerk's offices. As indicated, the full text of the 1989 Annual Reports will be available for your staff to review, if desired.

One of the Clerk's responsibilities under both House rules and law often goes unnoticed. Whenever a vacancy occurs in the House through death or resignation, the Clerk is required to take over the supervision and general management of the vacant office until a successor is elected. Having such vacancies is not unusual, but the First Session of this Congress produced eight (8) vacancies and we have three (3) already in this Second Session. Our basic procedure is to appoint an "administrator" for the vacant office and to retain the existing staff both in Washington and the district offices to continue serving the people of the affected district until a special election is conducted. Day-to-day supervision in the vacant office is handled by the "administrator" who is usually the former Member's administrative assistant or other key staff person.

The Deputy Clerk, Mr. Colley, has been the Clerk's manager of these offices and his experience as a former Member's administrative assistant and years of service in the Clerk's office have proven most helpful in the continued operations.

The General Counsel, Mr. Ross, and his staff in the Office of General

Counsel continued to provide a full array of legal services to the House, its Members, Officers and Committees. Operating under the supervision of the Speaker and the Bipartisan Leadership Group, the Office of General Counsel represents the institutional interests of the House in litigation relating to the official functions of the House, its Members and its employees.

Two matters of specific importance should be brought to the subcommittee's attention. During 1989 one of the senior attorneys in the office served as the hearing examiner for the House's Office of Fair Employment Practices. This attorney was responsible for conducting the first ever formal proceeding pursuant to the House's newly adopted procedure to protect employee rights. A second extraordinary demand placed upon the office was providing considerable legal support to the Speaker, the Republican Leader and their Bipartisan Ethics Task Force during the development and consideration of the proposals that became the Ethics Reform Act of 1989.

Overall 1989 proved to be a very busy year for the Office of General Counsel and the expectations are that 1990 will continue to place considerable demands on the office.

Mr. Patton, the Clerk's Special Deputy at the Federal Election Commission (FEC) meets with me weekly to discuss his work at the FEC.

The FEC's activities this past year were highlighted by two major areas of contention. Several sessions were devoted to the whole issue of "soft money" allocation regulations for national, state and local party committees which are still being formulated. The other issue was the determination of whether the Commission should be required under legislation to hire an Inspector General. The issue having been answered in the affirmative, guidelines were constructed and the process was begun for the selection of a candidate.

Compliance matters in 1989 saw a definite increase in cases of persons or individuals giving in the name of others as defined in law. Bank loan enforcement matters also continue to occupy a significant portion of the Commission's caseload. In the advisory opinion area the question of foreign nationals' political activity in the United States corporate structure appears to pose the largest difficulty in Commission deliberations. The area of concern is the intent and effect of law relating to "contributions by foreign nationals".

Mr. Baranowski's report on the past year's work in the Office of Fair Employment Practices, the first full year of operation, produced many contacts from covered employees. This Office was first authorized in the last session of the 100th Congress and reauthorized early last year. Notices of the Office's establishment were sent to each House employee with their February 1989 paystubs, and information was published in various documents.

More than 300 inquiries were received from employees, averaging 27 per month. Only one case progressed through all steps in the employment practices' grievance procedure to a decision by the review panel. Such steps include counseling and mediation before a hearing and review by the panel. Four positions were established in this office, including the director, counselor, mediator and secretary.

In the Clerk's Office of Telephone Services (OTS), which is directed by Ms. Zeleniak, the 1989 activity concentrated on the operation, management and enhancement of the House Telephone System. Completion of the conversion to the System 85 telephones was accomplished in 1988. One of the major benefits of the new System was experienced early in 1989 when many House Members' offices were relocated due to the retirement of several Members and the arrival of their replacements--the "election moves" that take place every two years. Through the automated management system software capabilities and the universal wiring plan, OTS managed to move some 2400 telephones in less than three weeks. It is estimated that a savings of more than $125,000 resulted in these moves when contrasted to the methods used in previous years.

There was expanded planning in 1989 on communications for the entire Legislative Branch of government, and OTS took a leading role in the development and evaluation of an RFI to procure a long distance network to replace FTS. New responsibilities were assigned to OTS for Member's district offices, including the implementation of the new long distance network (MCI) and the installation of new modern telephone equipment. More than eighty offices have been converted to the new network and have received new telephone systems.

The Finance Office, under the direction of Mr. McGuire, managed the House's $500 million budget in 1989, disbursing and accounting for approximately $2.4 million each business day. Consistent with its good work in past years, the Finance Office again received a "clean" opinion from the General Accounting Office as the result of the audit for 1988.

Finance's audit department was again challenged by the continuous changes in procedures and interpretations covering the use of Members' official allowances and regular communication with the Committee on House Administration was required to insure proper disbursement of funds. The audit staff deserves a special commendation for reducing the "turn around" time for vouchers to 4.6 days in 1989.

Finance obtained and installed new computers last year; is busily engaged in preparing for the conversion this year of the Financial Management System to the new ADABAS language; and has now committed all personnel records to the optical disk storage system where several upgrades have improved operational efficiency.

In the Office of Legislative Operations, which includes the bill, enrolling, journal, reading and tally clerks and is headed by Mr. Jenkins, another busy year was recorded. The Office of Official Reporters of Debate, headed by Mr. Gustafson, handled 147 days of House sessions (more than 748 hours). The Office of Reporters to Committees, directed by Mr. Boyum, could not handle all of the committee hearings in 1989 with its limited staff. A total of 2,680 hearings were conducted with 1,490 such hearings contracted to supplemental reporting services. The Office of Legislative Computer Systems processed 379 roll calls and provided new main and summary display hardware. This office, which is directed by Mr. Hawk, also provides computer operational support for the House Publications System that involved some 2,367 hearings and the printing of more than 2.7 million pages of testimony.

The Recording Studio served 408 House Members last year with sales the highest ever, according to the Director, Mr. Moody. Television satellite service has been established as a programming staple with a third of the TV sales attributed directly to such service. In the area of House floor television coverage, which is managed by the Recording Studio, a total of 749 hours covering 147 days was made available through C-SPAN in all fifty states. An additional three hundred cable systems over 1988 now receive the House sessions for a total of 3,300 such systems. The signal is available in 46 million homes with approximately 115 million potential viewers.

The Office Supply Service reported increased activity in all areas last year, according to the Chief, Mr. Young. Gross sales were higher as were checks processed, the number of transactions, and staff account sales. The number of stock items has been slightly reduced. No new positions were established in OSS last year and none requested in 1990. Improved communications in transmission of computer data has made end of month reporting more efficient, especially in monthly reports to Members.

The Clerk's Office Equipment Service (OES) started 1989 with a major effort to see that all relocated offices and new offices had their equipment installed and working as quickly as possible, and never slowed throughout the session. Headed by Mr. Shea, Office Equipment Service deals with not only the needs of Washington offices but those in the various congressional districts. The total OES purchase inventory reached 81,490 items last year with 32,223 being in the Washington offices. There is an active "trade-in" program in OES, generating

$255,320 in credits last year. Reimbursements from GSA totaled $22,095 and another $69,365 came from surplus sales. All sections in OES--correspondence, accounts payable, repair and services--responded efficiently to their heavy workload in 1989.

The Clerk's Office of Property Supply had a busy 1989 that started with many office moves when the new Congress got underway. Mr. Kellaher, who directs this important House activity, reported that every shop--cabinet, finishing, key, upholstery, drapery and carpet--had expanded activity. For example, the finishing shop finished or refinished 7,606 units and carried out 1,630 service calls. The upholstery shop completed new units from frames, repaired and handled special projects totaling 4,370. The carpet shop installed carpet in 307 offices and carried out 929 repair and 860 cleaning projects.

Ms. Bias, who is chief of the Office of Records and Registration, highlighted 1989 activity by advising that along with having new areas of responsibility, 201,673 pages of information were received, processed and made available for public inspection. These totaled more than 55,000 documents filed under various laws--lobbying, election, ethics and House directives to make available such reports as payroll, foreign travel and LSO summaries.

The Clerk's Office of Printing Services, headed by Mr. Simpson, is responsible for satisfying the printing requirements of the House for Members, committees and officers. More than 5,761 requisitions were processed in 1989. Publications are produced by photocomposition using the dial-up composition in conjunction with ATEX, thus providing quick turn-around page proofs. The database for these publications is ultimately communicated by fiber optic cable to the Government Printing Office for printing and delivery.

The LEGIS Office, which is directed by Ms. Bartlett, reported that the total number of calls for legislative information decreased last year, but more than 200,000 were received and handled by her staff. Included in this total were an increased number from Senate offices. Automatic dissemination of information (autotracking) continued to be a popular service with Member and committee staffs.

Mr. Lewis, the House Librarian, advised in his review of 1989 that service was provided to well over 400 offices, including members, standing committees, support offices, the Senate and both executive and judicial agencies. More than 4,000 persons made on-site use of the Library and approximately 25,000 pages of material were produced for on-site, written and telephoned requests.

In the Clerk's Placement Office, 1989 business continued as usual with 4,145 applications received and 3,543 interviews conducted. Mr. McDermott advised that the office's mission of serving both House offices and applicants was met.

CLERK'S ANNUAL REPORTS

Mr. **Anderson**. Because of the earlier date established for the hearings this year, the reports for the last calendar year, 1989, were not completed when this testimony was prepared. However, I will make the reports available for your staff to review when they have been collected, which will be very shortly.

In connection with today's hearing, I have asked the following staff to be here and respond to any questions you may have regarding their work—Mr. Ross, my General Counsel; Mrs. Zeleniak; and Mr. Baranowski from whom you have already heard.

Mr. **Fazio**. Thank you, we appreciate that.

Are there questions from other Members?

I want to welcome Mr. Obey.

Mr. Obey, we have been proceeding through the Clerk's testimony. You may want to ask some questions.

Mr. **Obey**. No. I will just listen for a moment.

Mr. **Fazio**. That's fine.

Mr. **Anderson**. If I may, Mr. Chairman, I would like to conclude the presentation on the Office of the Clerk by including for the record pages 29 and 30, and move on to the Office of the Sergeant at Arms.

[The information follow:]

When I appeared before this Subcommittee last year, the Committee on House Administration had authorized a total of 539 positions for my office, including the House Telephone Operations who serve in the joint House-Senate telephone exchange. Since then, one (1) position has been transferred to the Sergeant at Arms and I have received four (4) for the Office of Fair Employment Practices. I have requests pending before the Committee's Subcommittee on Personnel for seven (7) new positions. These are one (1) for my immediate office, one (1) for the Office of the General Counsel, and five (5) for the Recording Studio. In addition, I expect to receive by transfer the six (6) personnel from the Historian's Office, and to request four (4) new positions for the employee assistance program, and three (3) positions for the curatorial staff. If approved, some of these will be absorbed within the current year's appropriation and all would be annualized in fiscal year 1991. Provision has thus been made in the budget for a possible total of 562 positions in fiscal year 1991. This total includes my position as Clerk.

In our constant effort to maintain an efficient operation to meet our various House responsibilities, we regularly review personnel needs in each office and develop recommended staffing levels for the Committee on House Administration.

Mr. Chairman, I will continue to keep you informed of these personnel changes as they have been presented to and approved by the Committee on House Administration.

This concludes my comments on my immediate office and the several offices operated by the Clerk. I would welcome your questions.

CLERK'S APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$15,905,000	$17,514,000	$22,326,000
Transfer	615,000		
Sequester		245,000	
Expenditures	16,500,000	4,238,000	
Unexpended balances	20,000	13,031,000	22,326,000

MANAGING FUTURE SEQUESTERS

Mr. **Fazio**. As you wrap up, Donn, let me ask this. Here we go into what is going to be a very difficult budget year, as we all understand. An article that appeared in the Post this morning outlined what a number of us have been saying for weeks. That is Defense spending is being reduced now to a point where sequestration isn't much different than the level that the Secretary of Defense, Mr. Cheney, is requesting. The cuts on the domestic side are going to be heavy, whether we get them through sequestration or negotiate them, they are going to be deep.

The Legislative Branch, of course, is not immune, and I am wondering what guidance should we be giving Legislative Branch management as we look at what could be another serious reduction in our resources?

Should we have a hiring freeze, essentially? What do we do to handle what could be a serious problem for us?

Mr. **Anderson**. Well, I can only speak for myself, Mr. Chairman. In our office, we do our very best to diligently review our changing and growing needs. As far as the Clerk's Office is concerned, we find that additional duties are very frequently given to us to perform, things that we didn't necessarily want or ask for, but nonetheless, obligingly accept and do our very best to undertake and to deal with them effectively.

I think that, as the Clerk, I have been very prudent in not asking for additional personnel or salary increases that I did not absolutely feel were merited and justifiable, and I would simply suggest that the committee urge other appointing authorities to exercise similar discretion and examination in enlarging or enhancing their duties and responsibilities.

There are some things that we just can't walk away from. They are here and we have to deal with them.

For instance, the Office of Fair Employment Practices was a necessity required by a mandate of the House, and we have to staff it and operate it at a level that will truly fulfill its mission, and that we have done.

CAPITOL BUILDING MAINTENANCE

Mr. **Fazio**. Because it is important in anticipating the Architect's forthcoming hearing, could you give us a personal evaluation of the maintenance and upkeep of the House side of the building?

I know this was of great interest to you when you first assumed the position of Clerk, and I notice you keep up with it.

Mr. **Anderson**. I thought you would never ask, Mr. Chairman.

I am delighted to say that because of the additional manpower that the Architect has received, plus the implementation of a new process, the floors throughout the Capitol have never looked better.

Mr. **Fazio**. The floors look marvelous this morning, I can tell you that.

Mr. **Anderson**. I am not sure whether it is in anticipation of this hearing or the President's visit the day after tomorrow.

Mr. **Fazio**. Probably equally important.

Mr. **Anderson**. But in any case the floors are just splendid. I am sure that this is not going to be an occasional project, but will be ongoing. The Rotunda for the first time, I suppose, since it was built, is in beautiful shape.

I commend the Architect most sincerely for having undertaken this preservation of our floors so dilligently.

Mr. **Fazio**. You say this is a new process they are using?

FLOOR MAINTENANCE PROCESS

Mr. **Anderson**. It is a process that burnishes the wax on the floors rather than polishing. It actually melts the wax to give it that very high luster, which, if you are around late in the evening, as I am sure you are, and I often am, it sometimes smells like there is a fire somewhere in the building because the wax is melting.

Mr. **Traxler**. How often do they do that?

Mr. **Anderson**. They have been doing it every night. I hear the machines going every night, and it is music to my ears even though it occasionally interferes with my stereo.

AREA OF CAPITOL MAINTENANCE IMPROVEMENT

I still think that improvement could be made in the public restrooms, and for that matter, some of the executive restrooms, as well, in making them more attractive to the users. I still wish that we could find some time to dispose of our trash other than in the middle of the day at the height of visitation to the Capitol with our guests arriving and departing in view of the trash truck loading up at the sidewalk elevator. Anyone taking a keepsake photo of the Capitol includes the teeming refuse of our offices.

Mr. **Traxler**. Mr. Chairman, if we would have put the service entrance to the Capitol underground, under the parking spaces, that I hope will soon be turned into a beautiful green plaza, that issue would have been resolved.

Mr. **Fazio**. Funding is always the issue.

Well, thank you for that evaluation.

Mr. Obey would like to discuss Clerk hire with you.

Mr. **Anderson**. Certainly.

RETENTION AND SALARIES OF HOUSE EMPLOYEES

Mr. **Obey**. Donn, I am not at all sure you are the right person to raise this with because, in a sense, I guess the problem has to be dealt with by the Members themselves, but I would be interested in any comments you might have.

I am concerned about the ability of the House to attract and keep good staff people in their individual Member's offices because I think there is tremendous competition both from downtown and from the other end of the Capitol, and when I take a look at the divisions in salaries paid for various positions, I see that in the House, Administrative Assistants average $17,000 less than they do in the Senate. A Chief of legislation staff person's average in the House is $10,000 less than in the Senate.

A regular legislative assistant averages $11,000 less in the House than in the Senate. Legislative correspondents are the same, but for press secretaries, it takes $16,000 more to make a Senator look good than to make a House Member look good.

Mr. **Traxler**. They need more help.

Mr. **Fazio**. It is an impossible job.

CONCERN FOR PROVIDING QUALITY SERVICE

Mr. **Obey**. Take executive secretaries. The Senate pays $10,000 more on average than the House. Only for entry level positions such as a receptionist, word processor operator, or a legislative correspondent, is there a true parallel between salaries. I guess I am looking for some ideas on how we can reduce that difference. Because if we don't, we are going to accelerate a trend which we have had here.

If you take a look at the average tenure of legislative staffers in a Member's personal office, you will see that that average tenure has gone down. When I came here you had what I considered to be a healthy mix of seasoned staffers and young people learning the ropes.

Today, if the average tenure for a legislative assistant is three years or less, you have a hard time having the government run by anybody except people right out of school with not very much practical knowledge in either the world of business or the way government really works, as opposed to the way political science text books say it is supposed to work. And I think we create a real problem for ourselves in terms of quality of service we can provide when we have that kind of a problem.

I don't know if you have any thoughts on it or if anybody here has any thoughts on it, but it is a significant problem that we simply have to begin to address.

SALARY CONCERNS FOR HOUSE OFFICERS' EMPLOYEES

Mr. **Anderson**. Mr. Obey, by way of response, let me express my understanding because I have the same problem in my work force which is paid under the provision of the House Employees Classification Act of 1964. The Act really hasn't been revisited in a great many years. The pay schedule needs revision perhaps by adding some additional grades to it. In order to get my employees, if not properly compensated, at least enough to keep them from looking elsewhere, I have to keep bumping everybody up the grades. So we have less clear division between management and the next echelon of supervisors and in many cases the people who are at sub-management levels.

It is a matter of great concern to me as an Officer of the House, as I must believe it is to my brother Officers, whose salary structure is identical to mine. I can say for myself that had I been a married man in my early 20's, which I am not much to Mother's everlasting regret, I probably couldn't have stayed here long enough to be the Clerk of the House.

As a practical matter, I would have had to do the same thing that so many of my friends on the House staff have done over the years: try to maximize my income wherever I could for it is getting more difficult all the time to live in a very expensive area—artificially expensive indeed—on the compensation in many cases that can be afforded to be paid here.

It requires a hard look and I think some rather bold moves. It is something that we have to do if we are to retain the quality people that we want and who are willing to stay with the House and develop institutional memory, which is the glue that holds this institution or any parliamentary institution together.

I just started my 31st year. I would be hard-pressed to list another ten people other than a few Members with more than 30 years service.

CLERK HIRE ALLOWANCE INCREASE

Mr. McGuire. Mr. Obey, as we point out in our testimony, the current average salary that is being paid to Members' Clerk hire employees is about $26,000 per annum. As you are well aware, the authorization for the Clerk hire is established by the Committee on House Administration, and it has not been adjusted for anything other than the annual COLA since the middle 1970's.

The hard part of the problem, of course, is that under the statute we operate, any adjustment to that allowance by other than the COLA will require a vote of the full House, and all that that means.

RETAIN QUALITY PEOPLE

Mr. Obey. I mean I really think that Members need to face up to that, and I simply use this hearing as an opportunity to raise the point, because when the provision was adopted that required a vote on the House Floor, it was not assumed that Members would simply vote on all occasions to reject needed additions to staff salaries. And I really think that whether you are a Main Street businessman in my district in Colby, Wisconsin, or whether you are a Main Street businessman in New York or Chicago, it is in everybody's collective interest to have a House of Representatives which is able to retain quality people.

I have lost four people in my own staff within the past five years who have simply gone downtown and been able to essentially double their salary, and I do get awfully tired of serving as a training program for Senate staffers, which is what the House is doing. And if Members don't have the courage to face up to this issue, then I think we deserve the declining stature which will come with the declining quality which will most certainly result.

MID-LEVEL STAFF

That is all, Mr. Chairman.

Mr. Fazio. I appreciate your comments, Mr. Obey. I agree with you. Too often we focus on the turnover of lawyers and top-level staff and not enough on mid-level staff who are not staying with us the 15 or 20 years that used to be normal practice. We are losing staff who have spent three to five years and are very marketable at that point in their young lives. Those people are gone and likely will never come back into government service.

Mr. Obey. To be able to deal with the bureaucracy trying to give you the run-around, you have to have somebody who has been around here long enough to get their feet wet, and with all due respect to new people who come in with lots of energy and lots of zeal, if you don't have enough experience to know how to ask exactly the right question and call on the right person and try to push the right buttons, you just don't get a lot done.

Mr. **Fazio**. Or one would be accused of some felonious activity these days. That is skating on very thin ice.

ESTIMATED EMPLOYEE TURNOVER

Mr. **Anderson**. Mr. Chairman, in this context, before moving on, I would just like to throw out one rather interesting statistic, which is underpinned by several factors, but nonetheless, I think supports the premise of Mr. Obey's expressed concern. And that is at any given time we disburse the salaries for approximately 11,000 employees, and yet Bob McGuire has just told me we sent out 16,000 W-2 forms.

So that means in the last year we had a turnover of 5,000 employees out of roughly 11,000. That can be offset somewhat by employees that are known to be short-term, for instance the temporary additional help for the folding room, pages, summer interns. But, nonetheless, there are several thousand people that go through the mill, and I think that suggests something.

Mr. **Fazio**. Speaking about training programs, that is a lot of training.

Mr. **Lewis**. Mr. Chairman, let me say for the record that I not only emphasize, but appreciate Mr. Obey's thrust here. Mr. Obey, if you and I could get together on China policy, we can have a great year.

Mr. **Obey**. We have been so far.

Mr. **Traxler**. Mr. Chairman.

Mr. **Fazio**. Do you want to speak to this issue, Mr. Traxler?

Mr. **Traxler**. No, I don't want to speak to training program. What is the highest paid Senate employee now receiving, to your knowledge? Is it something more than what a Member of the House of Representatives is paid?

Mr. **McGuire**. Not until February the first.

Mr. **Traxler**. February first. How many will they have that are paid more than a Member of the House?

Mr. **McGuire**. I believe four.

STAFF TRAINING

Mr. **Obey**. Bob, I think, as the Chairman pointed out, my main concern here really does not lie with the top salary people in our offices. I mean, you will usually be able to find a way to provide income to people in those positions. But it is the people you are training.

I really believe you need five years to develop a first-rate L.A., and the problem you have around here is that you just get them trained and they just get to be good enough to really do the taxpayers' some good, and then what happens? Some trade association downtown says I would like you to run my grass-roots operation in Wyoming or in Texas or some place else. And so people who learn the legislative ropes then wind up either going downtown or working in some of the regions around the country for these associations at a very much increased salary.

It takes a very dedicated person to say, "The hell with that, I can stay up here because this is what turns me on." And when you get married and you start to have kids, it is awfully hard to feed the family on the so-called prestige that comes from working 10 and 12-hour days for Members who are usually too distracted to really appreciate it.

That is all I have today, Mr. Chairman.

FISCAL YEAR 1990 PAY INCREASE DILEMMA

Mr. Fazio. Well, I am glad you brought it up, Dave. We briefly went over this matter earlier. We do have an opportunity to make some compensatory increase in our pay schedules to match what the Senate will do on the first of February.

That has to be executed by the leadership, by the Speaker, but each Member of the body that employs staff has the discretion as to whether they can reach those new authorized levels. Could you tell us what you think our capability is to meet those targets given the current budget?

Mr. Anderson. I will let Mr. McGuire answer that, Mr. Chairman.

Mr. Fazio. Due to budget constraints, the pay increases cannot always be accommodated.

Mr. McGuire. That is exactly right, Mr. Chairman. Even though the authorizations are raised, the funds available in fiscal 1990 are going to make it difficult for most offices. They are really going to have to look at their overall structure and if they anticipate passing along those increases, in some cases it is going to be difficult. They are going to have to exercise some management.

Mr. Fazio. In some cases that will be rather impossible. Some will be able to manage, but it will take at least another fiscal year before we are able to authorize at that level, and I appreciate the fact that you are anticipating authorized increases.

Mr. Traxler.

SALARY REDUCTIONS AND EMPLOYEE DISCRIMINATION

Mr. Traxler. Mr. Chairman, this discussion raises an interesting question. I think we have the right person here to answer this, and that is, in the event of sequestration, which occurs——

Mr. Fazio. All too frequently. It might even be anticipated.

Mr. Traxler. A Member is caught between a rock and a hard place with reductions in the office account and in salaries and it is necessary therefore to either make an across-the-board salary reduction for all personnel or as an option to lay someone off, RIF them.

How does one go about that and not run afoul of our new fair employment practices? Is it last in, first out? What guidance would you give a Member so that a complaint would not be filed that a member was discriminating?

Of course, one can file a piece of paper any time, we understand that. But what guidance could you give a Member in that situation, or isn't there any?

This is a first impression case. What would a Member do under those circumstances?

Mr. **Baranowski.** It is a very difficult question to answer. At this point for a Member to try to handle that kind of a question——

Mr. **Traxler.** I am not going to. My Administrative Assistant will. I will tell you that right now. Thank God for A.A.'s. But of course I am the ultimate. It stops here. Truman established the principle, although it has been disavowed of recent. The buck does stop here.

Mr. **Baranowski.** I think there is going to come a point where we are going to have to go towards the direction, as you said before, of some kind of informational resource to provide the kinds of up front guidance that is required. At this point we haven't done that, but that is, I think, the direction we will be going.

MEETINGS ON MANAGING SEQUESTRATION

Mr. **McGuire.** Mr. Traxler, we do not, have a format. When we have things like sequestration, then I will go to the A.A.'s association meetings, for instance, and discuss it. Often times in those question and answer sessions we talk about how to address this, and the things that we always stress very strongly is that the first thing they do is make sure they have a planned budget for how they intend to operate their office for the year that talks about their fixed costs and variable costs and their discretionary costs. And given that you know what is going to happen now, go back and look at that and sit down with the Member and make some decisions on what are the discretionary things that we can back down and how far do we have to go before we do have to take an action such as you are suggesting.

MEMBERS RIGHTS UNDER FAIR EMPLOYMENT RESOLUTION

Mr. **Traxler.** Could there be a legitimate complaint against the Member that would be worthwhile considering where an employee says, "I disagree on how the office budget was allocated. I shouldn't have been dismissed because they should have reduced travel or telephones before I was dismissed." Or, do we still have some discretion?

Mr. **Anderson.** Mr. Traxler, Steve Ross, my general counsel is in the room and I think he can probably very ably respond to your question.

Steve.

Mr. **Ross.** Mr. Traxler, under the Fair Employment Resolution, any time there is an adverse action with regard to one employee or all employees, there is the potential that a complaint might be filed. What the resolution prohibits is a Member or other employing authority acting in a fashion which is discriminatory, and so the simple answer to the question is it does not prevent an employing authority from taking adverse actions, RIFing somebody, cutting salary levels or anything of that nature as long as it is done in a manner which does not violate one of the specific discrimination prohibitions, be it gender, race, national origin, something of that nature.

Mr. **Traxler.** Thanks a lot.

Mr. **Ross.** If we reach a point where every House Member is forced to cut back their payroll, you therefore will have an increasing number of adverse actions and one can then predict there will be an increased number of complaints. But in advising any individual employing authority, my advice would be just make sure that the system that you pick or the method that you pick for making this decision is one that is fair; that does not violate any of the rules and regulations with regard to employment.

Mr. **Traxler**. Those are clearly published where?

Mr. **Ross**. It is in the Rules of the House set out in the Employment Practices Resolution. It sets out a list of things by which House employees cannot be discriminated.

Mr. **Traxler**. And when was that last updated?

Mr. **Ross**. At the beginning of this Congress.

Mr. **Traxler**. And we all have a copy of that?

Mr. **Ross**. It was in the Congressional Record. I am sure that Bill Baranowski will——

Mr. **Traxler**. That is good enough notice. Thanks.

MINIMUM WAGE REQUIREMENTS

Mr. **Fazio**. In recent years, the Congress has become very sensitive to criticism that we treat ourselves differently than others in the executive branch. Could you explain what the Congress is doing to implement the minimum wage requirements that apply to the House of Representatives?

Mr. **Anderson**. Both Bob McGuire and Steve Ross can comment on those. We have had extensive discussions in my office.

Mr. **McGuire**. In the recent amendments to the minimum wage law, the rights and protections of the Fair Labor Standards Act were extended to House employees, all House employees, and in reading the Fair Labor Standards Law, it appears that the rights they speak of are the right to the minimum wage, which we have little or no problem with since almost every position we have is not subject to that. The other is the maximum work week, and therefore, overtime.

Mr. **Fazio**. That is a serious problem for most of us.

RULES FOR MAXIMUM WORK WEEK

Mr. **McGuire**. That is a serious problem for us, obviously. We are going to be in a position where the House is going to have to promulgate rules, if you will, just as the Secretary of Labor has done for the rest of the world, and some of the things we will have to be considering is how we factor in compensatory time versus cash overtime. And also the law provides for some exemptions for executive, administrative, and professional employees, and we are going to have to go through the process of defining within our context what those categories are.

Mr. **Fazio**. That was not clearly addressed in the Fair Employment bill.

Mr. **McGuire**. No, it was not. The issue was not addressed.

Mr. **Fazio**. When I dealt with collective bargaining statutes for public employees at the state level, we exempted so-called confidential employees who served at the pleasure of a politically elected official from overtime pay.

Mr. **McGuire**. Well, in one of the original versions——

Mr. Fazio. We didn't take that step in the legislation, because it would have created a huge loophole since so many congressional employees work at the pleasure of elected officials.

FAIR LABOR STANDARDS ACT

Mr. McGuire. In the Fair Labor Standards Act there are particular provisions that address that very issue that are written into the statute for public agencies in states and local governments. Categories of employees and confidential advisors is one of those categories.

In one of the original versions of the amendment to the bill as it was going to cover the House, that language was included, but it was later dropped. Again, since the House has the responsibility of writing its own regulations to implement it, this is my opinion. I believe, one of the things that can be done is that we can look to those existing statutes and exemptions that are written into the law now for like institutions and certainly with some validity carry them forward.

Mr. Fazio. I have no problem at all with overtime for laborers or blue collar employees and office, procedures-oriented staff. These employees deserve the same protections given to other hourly wage-earners. But we all know that when you are employed by a Member of Congress, you are likely to work 50, 60, or 70 hours a week at certain peak times during the year, and the Members do the same. This legislation becomes, therefore, a major impediment to doing the thorough work that is required in the Congress. Clearly, flexibility is required.

So I hope that those regulations will be written with that kind of sensitivity.

Mr. McGuire. Well, fortunately one good thing we can say is that the law was passed and the amendment is made effective next October so we do have some time in advance to think about it and come up with good solutions rather than hasty ones.

Mr. Fazio. Are there further questions for Mr. Anderson?

Mr. Traxler. Those regulations, I trust, are not subject to judicial review?

Mr. McGuire. No, they are not. In fact, the protection provided is through the resolutions that established the Fair Employment Practices Commission. So they will be the review body on any action.

Mr. Traxler. Thank you.

Mr. Fazio. Thank you, Donn.

OFFICE OF THE SERGEANT AT ARMS

Mr. Anderson. Thank you, Mr. Chairman. At this time I would like to introduce the Sergeant at Arms of the House, the Honorable Jack Russ.

Mr. Fazio. Mr. Russ, welcome.

Mr. Anderson. Before Jack comes to the table, may I ask, Mr. Chairman, if I may insert in the record the statistical material for all of the remaining House officers?

Mr. Fazio. Certainly, they will be inserted at the appropriate points in the record.

[The tables follow:]

OFFICE OF THE SERGEANT AT ARMS

I will now present the following request for operations under the Sergeant at Arms.

	FY 1991 Request	Subcommittee print pages
Mileage of Members	210,000	11
Office of the Sergeant at Arms	1,455,000	51–52

MILEAGE OF MEMBERS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$210,000	$210,000	$210,000
Sequester and emergency drug funding		1,000	
Expenditures	150,000	22,000	—
Unexpended balances	60,000	187,000	210,000

OFFICE OF THE SERGEANT AT ARMS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$951,000	$1,001,000	$1,455,000
Sequester		14,000	
Expenditures	949,000	255,000	
Unexpended Balances	2,000	732,000	1,455,000

The Honorable Jack Russ and his associates are here to discuss the operations of the Office of the Sergeant at Arms.

STATEMENT OF THE SERGEANT AT ARMS

Mr. FAZIO. As I said to the Members earlier, we will be hearing from the Capitol Police Board at another time. Jack Russ will be back tomorrow morning as Chairman of that triumvirate. Now we will be hearing about the Sergeant at Arms' budget. So Jack, please proceed with your statement.

Mr. RUSS. I have a short statement, Mr. Chairman.

First of all, I would like to introduce Charlie Mallon, the Deputy Sergeant at Arms and Caroline Klemp, who does the budget work.

Mr. Chairman, it is a privilege to once again appear before you to discuss the budget requests for the Office of the Sergeant at Arms and the Capitol Guide Service. I look forward to answering any questions the subcommittee might have, as well as providing any additional information you might require in support of these requests. A separate statement has been provided regarding the United States Capitol Police budget. It is my understanding that the Capitol Police budget will be discussed at another time in the near future.

REVISION OF SERGEANT AT ARMS BUDGET

Mr. Chairman, projected personnel expenses for fiscal year 1991 for the immediate Office of the Sergeant at Arms are $1,455,000. This figure has been revised since the original estimate was submitted for consideration in October of 1989. The increases reflected in this amount are for longevity/meritorious increases, to fund an increase in two executive level positions, and $31,000 for the annualization of the 3.6 percent Cost of Living Adjustment (COLA) for fiscal year 1989 (effective January 1990.)

CAPITOL GUIDE SERVICE

Mr. Chairman, included with the budget request for the Office of the Sergeant at Arms is the funding request for the Capitol Guide Service. This estimate has also been revised since the original was submitted for consideration in October 1989. The Capitol Guide Service is requesting $1,460,000 for fiscal year 1991, of which $281,000 is allotted to fund agency contributions for retirement benefits, life and health insurance. An increase of $38,000 is requested to fund the 3.6 percent Cost of Living Adjustment (COLA) effective January 1990.

[CLERK'S NOTE.—The budget request for the Capitol Guide Service as contained in the President's Budget for FY 1991 and in Committee documents is $1,490,000.]

Mr. RUSS. With that, I will answer any of your questions.

[The statement of Mr. Russ follows:]

STATEMENT BY JACK RUSS, SERGEANT AT ARMS, TO THE SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS

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Mr. FAZIO. Thank you.

Are there any questions? I have a few.

Mr. RUSS. I might say in the Office of Sergeant at Arms we have retained all of our employees. When I became Sergeant at Arms in 1983, Mr. Mallon was the Deputy and we haven't lost anyone. So I am very fortunate that we have retained——

Mr. FAZIO. There is limited turnover.

Mr. RUSS. Absolutely.

CAPITOL SECURITY PLAN UPDATE

Mr. FAZIO. I want to ask about the status of the security plan. As you well know, you presented us on several occasions a variety of plans all designed to provide greater security at the Capitol. At one point we nearly approved a modification of the original plan, I believe.

Provide us with an update on the status of the security plans.

Mr. RUSS. We submitted that plan in 1988, and it went to House Administration, and $13 million, I think, was appropriated, and it is, from my recollection—Mr. White says there is still one or two committees that have not signed off on it, but we have finished our work.

Mr. FAZIO. Some money has been spent on items that have been approved by the appropriate authorities.

Mr. RUSS. Some money has been spent, not the $13 million, but prior to that we have spent monies on the flower pots, the delta barriers.

Mr. FAZIO. But the $13 million remains appropriated pending approval of the appropriate House and Senate Committees.

Mr. RUSS. Yes, basically the hold up was the hedge.

Mr. FAZIO. I thought an agreement was reached on the national barricade, but apparently not. I know you are doing everything you can to move it along.

Mr. RUSS. Absolutely.

SECURITY—SERGEANT AT ARMS STAFF

Mr. FAZIO. I think part of the problem may be the periodic changes in leadership which result in different perspectives from when the project was started. I certainly hope you can implement a plan, the sooner the better. I guess I am preaching to the choir.

Let me ask you about the staff assigned to your office, exclusive of the police roles. How many positions do you have?

Mr. RUSS. Twenty-two.

Mr. FAZIO. How many police positions work out of the office?

Mr. RUSS. Three.

Mr. FAZIO. What are the duties of those people?

Mr. RUSS. The police officers?

Mr. FAZIO. Yes.

Mr. RUSS. Basically they are there to service the 435 Members during the day. As you well know, with 435 Members, there is a constant need for police services such as taking emergency runs to the medical facilities at Bethesda, Walter Reed and Andrews. One of those officers is detailed to the leadership. He is the back-up driver for the leadership and the primary responsibility is security of the House.

One of those police officers is assigned to the House Floor permanently. When the House goes into session, he goes on the House Floor just in case someone jumps over the Gallery as they did three or four years ago. He sits primarily down to the right of the Speaker. The other one is there assigned to my office to do a lot of the bank runs. We deliver money, checks, pick up money daily.

So that is basically what the three of them do.

POLICE OFFICERS IN SERGEANT AT ARMS IMMEDIATE OFFICE

Mr. FAZIO. How are they paid in comparison to other members of the police force? Are they paid proportionately? What are their salaries?

Mr. RUSS. I believe they are all privates. They are paid about the same. There was some overtime involved last year because of the Inauguration. These three people really do take the blunt off the force as far as when the Members need something right away, it is their responsibility to handle it rather than to try to get a squad car over. We have two cars assigned. They are the first line.

Mr. FAZIO. They are integrated into the police force to the point where they can be a liaison between you and any Member?

Mr. RUSS. They are all specially trained police officers. They have a variety of skills. Most of them came out of the plainclothes unit, and been trained in plainclothes. One just went back to the technical security department.

SERGEANT AT ARMS VEHICLES

Mr. FAZIO. How many vehicles do you have assigned to the office?

Mr. RUSS. Three. I have a four-wheel drive for wintertime and two squad cars, I think an '88 and an '89 car.

Mr. FAZIO. These three people operate those three vehicles?

Mr. RUSS. Yes.

EXECUTIVE LEVEL POSITIONS—SERGEANT AT ARMS

Mr. FAZIO. Did you say you had two executive level positions in the statement you submitted?

Mr. RUSS. Yes. My position and that of Charlie Mallon.

Mr. FAZIO. I see.

Mr. OBEY. I don't understand that, Mr. Chairman.

Mr. FAZIO. I don't either.

Mr. OBEY. I thought your statement said, Jack, to fund an increase in two executive-level positions. Does that mean you are adding two executive-level positions?

Mr. RUSS. No, sir. That would be to fund—the pay raise if it goes through.

Mr. FAZIO. I see.

Mr. OBEY. Oh, I see.

Mr. RUSS. We have only had one increase in my office. That would be Mr. Harold Wills, who is a master locksmith. I have arranged with the Clerk just to transfer him over to my operation to work with our technical security people. We were in need of Mr. Wills' background; we could not find anybody on the outside.

Mr. **Fazio**. Yours are the only positions affected by the salary increase at this time?

Mr. **Russ**. At this time.

The rest of them will get the COLA.

Mr. **Fazio**. I guess that is it, unless there are other questions. I will insert a question to be answered for the record.

Mr. **Russ**. Thank you, sir.

Mr. **Fazio**. Thank you.

Thank you Caroline, Charlie.

[The question and response follow:]

DETAIL OF REQUESTED INCREASES

Question. Your fiscal year 1991 budget request for your immediate office is up by $468,000 or 47 percent ($987,000 to $1,455,000). What are the components of this increase? Give a detailed analysis for the record explaining this increase over 1990.

Response. $206,000 is for the annualization of the Cost of Living Adjustments (COLA). Also included in this figure are adjustments to two Executive Level positions pursuant to the President's recommendation on government salaries. $58,000 is for the position of Assistant to the Sergeant at Arms for Physical Security, transferred from the Clerk and authorized by the Committee on House Administration in 1989 but which had not been funded in FY '90. $87,000 is for meritorious/longevity increases. $1,000 is for official representation and reception expenses. $102,000 is for the reclassification of positions pursuant to the proposed revision of the pay schedule (HS). $14,000 is for restoration of funds previously sequestered.

OFFICE OF THE DOORKEEPER

Mr. **Anderson**. Mr. Chairman, at this time I will present the Doorkeeper of the House of Representatives, the Honorable James T. Molloy.

Mr. **Fazio**. Mr. Speaker, the Doorkeeper of the House of Representatives.

Mr. **Molloy**. Musical chairs.

Mr. **Fazio**. You may proceed.

Mr. **Molloy**. Gentlemen, I have a very short statement if you want me to read it or submit it for the record?

Mr. **Fazio**. You may submit it for the record, and speak extemporaneously.

Mr. **Molloy**. As you are well aware, the areas under my jurisdiction are Publications Distribution Service, the Doormen, Office of Photography, the House Document Room, the Pages, the House Page School, the residence hall in connection with that, and small service groups, and the barbershop. I also have a quasi-jurisdiction with the House press, radio, TV and periodical press.

I would be more than happy to answer any questions.

[The table for the Doorkeeper's Office and the statement of Mr. Molloy follows:]

OFFICE OF THE DOORKEEPER

For salaries, including overtime for the Publications Distribution Service, for the Office of the Doorkeeper, $10,114,000. Included in this amount are nonpersonnel expenses related to the operation of the House Page School.

DOORKEEPER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$7,525,000	$8,747,000	$10,114,000
Transfer	60,000		
Sequester		122,000	
Expenditures	7,539,000	1,930,000	
Unexpended balances	46,000	6,695,000	10,114,000

JAMES T. MOLLOY
DOORKEEPER

Office of the Doorkeeper
U.S. House of Representatives
Washington, DC 20515

TESTIMONY BEFORE THE LEGISLATIVE BRANCH APPROPRIATIONS COMMITTEE, JANUARY 29, 1990

Mr. Chairman, it is a privilege to once again appear before this committee to discuss the funding for the Office of the Doorkeeper. I would like to thank this committee for their interest and understanding of the support services this office oversees and hope that our budget requirements for fiscal year 1991 will receive the open consideration and positive action which this committee has exhibited in years past.

Presently the Doorkeeper's roll numbers 378 employees. The departments under my jurisdiction include the Publications Distribution Service, Doormen, Office of Photography, House Document Room, Pages, the House Page School and Residence Hall, Service Group, Barber Shop, House Press, Radio-TV and Periodical Press Galleries and my immediate office. Based on full employment for this office, our request for fiscal year 1991 projected personnel expenses are $10,114,000. The increases above the FY '90 budget reflected in this amount are detailed as follows:

* funding the anticipated Cost of Living Adjustment for Fiscal Year 1991;

* funding for longevities and meritorious increases;

* reclassification of salaries for staff of House Page School;

* pending authorization from the Committee on House Administration, funding for temporary employees for the Publications Distribution Service;

* pending authorization from the Committee on House Administration, funding for temporary Summer Pages and Interns;

* pending authorization from the Committee on House Administration, reclassifying current positions and creating one new position in the House Press Gallery

My original budget figures submitted for the House Page School have been amended to include the cost of the reclassification of the eight employees of the school.

I will be happy to answer any questions the Committee might have and provide any additional information the Committee may require.

COSTS FOR IMPROVING RADIO AND TV GALLERY

Mr. **Fazio**. On the last point, could you tell us what we have invested in the improvements in the House Radio and TV Gallery.

Mr. **Molloy**. It is substantial. I would have to get the figures and submit them for the record.

[The question and response follow:]

Question. Tell us what we have invested in the improvements in the House Radio and TV Gallery?

Response. The Architect of the Capitol has stated that the total cost for the structural changes in the Gallery was $511,769.

Mr. **Fazio**. It is an impressive job.

Mr. **Molloy**. We are very happy with the renovation.

Ms. Thornburg did inform me, as a point of information, that the networks paid for a substantial part.

Mr. **Fazio**. What was the cost-sharing ratio?

Mr. **Molloy**. I don't know that. I will get that, too. Everybody seems to be happy with the results.

[The question and response follow:]

Question. What was the cost sharing ratio?

Response. The cost to the government was for the remodeling of the space only. The news services and the networks are given the basic space, such as the studio and, for some, broadcasting booths. The House provides the shelving, lights, power and basic telephone service. Each news service furnishes their own equipment suited to their particular need.

In the studio, for example, the networks divided the costs involved in providing the equipment needed. One network provided the backdrops, one the lighting, and one the audio equipment. Television groups which use systems such as fiber optics pooled together to provide this equipment.

We do not know the actual amount of money the networks and news services spent.

Mr. **Fazio**. It looks very good.

HOUSE PAGE SCHOOL

Would you give us an update on the Page School and the situation with the dormitory? The principal is here.

Mr. **Molloy**. Dr. Knautz can answer any questions. We had a "good group" just leave. As Mr. Kildee said, the Page Board didn't have to meet at all. As the present chairman knows, whenever they meet it is to resolve problems.

They completed their term last week. I think Mr. Traxler was at the ceremony in a well of tears, an emotional time.

Mr. **Fazio**. That is a great ending.

Mr. **Molloy**. That is a good sign. We started with a new group this morning. They are charming, debonair, personable. Hopefully they won't learn the ropes before they leave on June 5th or 6th. On the whole, the program is very good. Also, we are happy with the Residence Hall. We get good support from everybody around here for that. The living arrangements for pages was a situation that had to be addressed. We addressed it quickly.

There are still problems. We have residents living in an office building. No major problems, but there are small problems.

Mr. **Fazio**. We are continuing to hear from the University of California that wants us to build a facility.

Mr. **Molloy**. We had a couple meetings with them. There is a possibility of doing something positive there.

Mr. **Fazio**. If they go forward with their intern program, we might want to be somehow involved.

Mr. **Molloy**. We have had on-line meetings with them, two or three.

Mr. **Fazio**. We will get into scorekeeping at another time during these hearings. The scoring on leaseback facilities might not be quite what we had originally thought as it relates to the Judicial Office Building on the Senate side. That is something for further discussion.

What kind of turnover have you had on the page school faculty lately?

PAGE SCHOOL FACULTY TURNOVER

Mr. **Knautz**. Our faculty has been stable the last two years. We had a foreign language teacher resign. We replaced him with a wonderful woman, teaching French and Spanish. She is doing a marvelous job—a lot of enthusiasm. The enrollment doubled in the foreign language department. We are in good shape.

Mr. **Fazio**. Are you continuing the teacher visitation program?

Mr. **Knautz**. The Middle States Evaluation in 1985 recommended we discontinue that for the sake of continuity. Interestingly enough, the kids don't recognize that. They keep changing. We did eliminate that program.

Mr. **Fazio**. We have an affirmative faculty now?

Mr. **Knautz**. Absolutely.

Mr. **Molloy**. We had two teachers in that program. We did do away with it.

CHALLENGING PAGE SCHOOL

Mr. **Fazio**. Periodically, I ask the pages what kinds of challenges they are facing. More often than not, I get that they consider this a challenging school.

Mr. **Knautz**. We think so. We recognize our role is supportive of the work role pages have. At the same time, they have a certain set of standards they bring with them. They are all B average students. The group that started today entered with a 3.6 average. We try to maintain the standards they would be used to if they were home. That is our goal.

Mr. **Fazio**. Are you still finding a wide disparity of student backgrounds that sometimes makes it difficult to reach the right equilibrium in programs and keep everybody in school working together?

Mr. **Knautz**. It is less. The kids come from all over the country representing the Members. It has been less and less of a problem because we have been able to institute some extra time, tutorials for those kids that need that. They stay after school with the cooperation of the work supervisors which has been excellent. Few kids fall through the cracks academically.

Mr. **Fazio**. You haven't had many students leave?

Mr. **Knautz**. No. No, in fact, in the last couple of years we haven't had anybody leave.

Mr. **Fazio**. It is such an ego blow for the students not to make it academically. When I was on the Page Board, I felt worse about that problem than anything else.

The discipline problems are down, too?

Mr. **Knautz**. The school has none.

Mr. **Fazio**. All in the dormitory, I am sure.

Mr. **Knautz**. Someplace else.

Mr. **Fazio**. Any questions?

COMMENDATION FOR PAGE SCHOOL PROGRAM

Mr. **Traxler**. Mr. Chairman, I want to commend Mr. Molloy and Mr. Anderson and the principal. I did attend the graduation ceremonies.

Mr. **Fazio**. Were you the speaker?

Mr. **Traxler**. Happily not.

Mr. **Molloy**. Mr. Gephardt spoke.

Mr. **Traxler**. He had a fine presentation, I might add.

Mr. **Fazio**. I suggest Mr. Traxler for June.

Mr. **Traxler**. Thank you.

What is most important, I think, is the keen interest that our officers take in the operation of the school and in the students. You are both to be commended for that. We have a very fine operation over there.

Mr. **Fazio**. I am sorry I am no longer on the Board. I was there at the beginning.

Mr. **Molloy**. In the tough times.

Mr. **Traxler**. I am curious. From your observation, without being specific as to a Member, are the Members conscious of the fact that when you say a B average, it means a B average? Do they sometimes try to push that student into the B average even though they may not be there?

Mr. **Knautz**. At the earliest days of the school, there was some of that pressure because it was a brand new system. In the last five years, almost none at all. They deal through—I deal through the personnel committee. I seldom have any contact with the Members at all.

Mr. **Molloy**. It is a mathematical system—it is not a problem now.

Mr. **Fazio**. You don't do the kids favors by forcing them?

Mr. **Molloy**. No. It is difficult for them to maintain the grade point average under the circumstances.

Mr. **Fazio**. Very good. Thank you.

Let's talk about the folding room.

Mr. **Molloy**. Yes, sir.

HOUSE FOLDING ROOM RELOCATION PLANS

Mr. **Fazio**. When do you expect to relocate the folding room? What is the current schedule?

Mr. **Molloy**. Right now there is a series of meetings going on. As to the timetable. We aren't aware of a definite completion date. Everything seems to be on track.

We have had meetings. The Architect is on top of that. The property has been lined up. I would hope within the year the plans would be finalized. I don't have a firm date for you at this time.

Mr. **Fazio**. Has this kind of operation looked at the layout to ensure a flow-through process?

The reason I ask that is one of the major problems we have right now is the time constraints of the 60-day rule.

Mr. **Molloy**. No question about that.

MAXIMUM EFFICIENCY OF NEW FOLDING ROOM

Mr. **Fazio**. The question all of us want to have answered affirmatively is do we have a system that is at maximum efficiency or is there a point beyond which efficiencies are impossible under the current physical set up?

Mr. **Molloy**. The Architect and GPO have been involved in the project.

To my right is Patrick McDonough. He is our staff representative. He approaches the process from the perspective of the needs of the Members.

Efficiency will be compromised in any system by how topical an election is, and the rules that we have to work with. There are many variables involved. Obviously, it is impossible to get a definite solution for that.

Mr. **Fazio**. We do not want to denigrate Patrick's background or contributions or the Architect's or others involved, but I really hope this facility has been designed to provide maximum efficiency that is far greater than we have today.

Mr. **Molloy**. No question. As you are aware, the present system, started 30 years ago. It was piecemeal; put this in, put this in.

Now, we are well-organized, well-planned. We have made our requirements known to the architects. They came back with what they can do physically.

I feel comfortable with the project as it now stands. But it has not been finalized.

Mr. **Fazio**. At this point, I guess you are doing the best you can with available space and staff.

Mr. **Molloy**. Yes, sir.

PROBLEM WITH SENDING OUT NEWSLETTERS

Mr. **Fazio**. I realize we understood when we agreed to abide by our own rules, we were going to have to get our newsletters to the folding room earlier. I don't think many members anticipated 60 days earlier would be required in order to make the deadline.

Mr. **Molloy**. The reality has not—I bite my tongue when I say this—reality has not set in with the Members.

Mr. **Fazio**. It is setting in.

Mr. **Molloy**. I will give you an example.

Coming up right now, February 5, which is on us, we have nine states, including your state holding primaries, which has a lot of Members. We notify the Members, stay with them, kind of push, shove and prod, but we have run into some problems there.

Mr. **Fazio**. What can be done? It is difficult to be topical when text is prepared four months in advance.

Is it a personnel problem? Is it mechanical?

Mr. MOLLOY. The problem lies in the fact that there is no effective solution to the problem of regulating the number of Members sending work on a given day.

We hope with this new, modern equipment we are going to get, basically the same personnel going to these new facilities, we will be able to address ourselves to that.

Mr. FAZIO. We will not have that until the new facility is completed.

Mr. MOLLOY. No.

Mr. TRAXLER. You are getting two opinions. Your able assistant is shaking his head, no.

Mr. MCDONOUGH. No. I was commenting on his notes here.

NEWSLETTER REFORM

Mr. TRAXLER. Has the Congress dug its own hole on this one?

Mr. MOLLOY. Yes. Yes. Yes.

Mr. TRAXLER. Say it. Say "you dummies screwed it up".

Mr. MOLLOY. I would never say that. There was not a lot of planning that went into it.

Mr. TRAXLER. We did a lot of reform. That says everything that needs to be said.

Mr. MOLLOY. We have to address ourselves to this and make in-course corrections.

Mr. TRAXLER. The issue, for the benefit of those Members who haven't experienced it, is that your newsletter has to be down there four months before the primary.

Mr. MOLLOY. And it is not topical.

Mr. TRAXLER. Which is absurd.

Mr. MOLLOY. The purest answer to that is the newsletter has nothing to do with the primary. It is just an information thing.

Mr. TRAXLER. What can I say in terms of the issues when events are moving at lightening speed in Europe.

Mr. MOLLOY. It is serious.

Mr. TRAXLER. Gorbachev could be dead and buried four months from now.

Mr. MOLLOY. If you have a constituency interested in Eastern Europe, Poland, Yugoslavia, the situation changes so fast you cannot address yourself to it.

Mr. TRAXLER. You can't talk about pending bills.

FURTHER DISCUSSION OF NEWSLETTERS

Mr. FAZIO. In response, you must do the best possible job in scheduling work. Members are tied down as to the date when their materials will be completed.

Is there some effort being made to try to gauge the materials that are coming out of the Members' offices?

Mr. MOLLOY. We have no control over this. There is no way to determine in advance how many of the Members eligible to mail will mail—or how much.

Mr. FAZIO. Since you asked the Members to send materials to the printers so it can be available to you, it is moving through in large blocks, and therefore, log jamming.

Mr. **Molloy**. There is no way, presently, to avoid this.

Mr. **Fazio**. The advance time is supposed to give Members security in knowing the publications will get out. Even if it ends up sitting around for a long time while somebody else's goes out.

Mr. **Molloy**. Then you come back to Mr. Traxler's point. The information is not topical at that point in time.

AMEND NEWSLETTER STATUTORY REQUIREMENT

Mr. **Traxler**. Jim, we have the two months statutory requirement for a primary. It might give flexibility if the statute were amended to eliminate the two months as to those Members who have no primary opposition.

Mr. **Fazio**. That would certainly help.

Mr. **Traxler**. Is there some unfairness in that?

Mr. **Fazio**. I don't think there is. You are not talking about impacting other Members. I think that is one way to free up the logjams.

Mr. **Molloy**. There are some tinkerings that you could do, some adjustments. Maybe the length of the period of time could be altered for some primaries.

Mr. **Fazio**. Will someone present those options to us? Are you in a position?

Mr. **Molloy**. No, I am not.

Mr. **Traxler**. Let me.

Mr. **Molloy**. I am what they call "hired help," Mr. Chairman. I have very few positions. Mine is to do.

Mr. **Traxler**. You will be here after we are gone, Molloy.

Mr. **Molloy**. I would suggest maybe since the Chairman raised the question that maybe some ad hoc group within the frame work of this committee could work on a legislative solution. You have some authority here.

Mr. **Fazio**. Ed, do you want to take this on?

Mr. **Molloy**. It is called "passing the buck."

Mr. **Fazio**. This problem should be addressed.

Mr. **Molloy**. On a serious note, somebody should look at it.

Mr. **Fazio**. The system is not working at present.

CONSTITUENT COMMUNICATION CONCERNS

Mr. **Obey**. Let me point out, Mr. Chairman, a very real problem. I often send out a simple questionnaire on the budget. I lay out what each piece of the budget is, let people write their own budget. This year we have no special analysis to the budget. We have it all in one big document. By the time we will be able to explain exactly what has been put where in the President's budget, it will be the end of February.

It takes me a month to get something said the way I want it said. That means that you are at the end of March. If you have to put any piece out on the budget in order to beat a July 1 deadline, you have to put it out within about a 30-day time frame or not put it out at all.

That is ludicrous. You might as well not communicate anything on the budget. That is only the most important thing we do.

Mr. Fazio. Perhaps it is a game plan to prevent us from communicating. We were forced into this reform because Members, frankly, were letting their mail reach constituents a week or two before an election. That is really not what we are saying to ourselves, let alone to our constituents, about how this is working.

Anyway, this situation deserves ongoing oversight. This committee may be partly responsible for the problem.

Will you give us-help in solving this problem?

Mr. Molloy. We would love to.

Mr. Fazio. On whom do you rely?

Mr. Molloy. On Patrick in the everyday past history.

I would like to get Mr. Thomas involved in this.

PRIVATE FOLDING COMPANIES

Mr. Traxler. There is something about using private folders. If you do that, you incur another one thousand dollars in cost.

Mr. Fazio. Members are increasingly sending publications work outside. That is adding, of course, to the expense. It is coming out of their official expense accounts which are limited. It is just shifting the cost of the problem.

Mr. Molloy. Pat informs me, for your information, roughly about $1400 per average job, if you took it outside to do the folding and inserting.

Mr. Fazio. Members can mail them in their district if they need to stay within the time frame, but that means Mr. Rota can't keep track of the destinations.

Mr. Molloy. It is the breakdown, the count thing over there that will not give you a true figure.

DISTRICT FOLDING COMPANIES

Mr. Traxler. There is one question I do have. Is there anything to prohibit us from soliciting bids in our district, having the printing, folding and mailing done in our districts? Is that prohibited? Or permissible?

Mr. McDonough. It is not prohibited, but the problem you are going to find is not in the printing or folding. It is the breaking down.

By law, you have to mail at the lowest possible rate which is carrier route presort. One of the things the folding room does is count your district-wide mailing down to the number of pieces each mailman in your district needs.

The problem for you is finding a firm outside that will do that count and breakdown, getting authorization from the Commission on Congressional Mailing Standards for the firm to assume responsibility for the franks, and absorb the additional expense.

Mr. Traxler. Then bundling it accordingly?

Mr. McDonough. Per mailman.

Mr. Traxler. Putting on the route numbers?

Mr. McDonough. Yes.

Mr. Fazio. Some of the local mailing houses are probably doing that for commercial purposes anyway.

Mr. Traxler. But will it cost me more or less? That is my problem.

Mr. **Molloy**. Cost you a lot more.

Mr. **Fazio**. I don't want people to think that this trend, which I believe is going to increase, is not costing us anything. It costs more money than doing it in-house.

Mr. **Traxler**. I can't afford in my budget to do it that way. That is my problem.

Mr. **Fazio**. I guess you would have to decide it was important enough to outlay money for it.

I believe the solution is to fix the existing system.

Are there any other questions? I will insert a question from Mr. Porter to be answered for the record.

Thank you, Mr. Molloy.

Mr. **Molloy**. Thank you, Mr. Chairman.

[The question and response follow:]

Question Submitted for the Record by Mr. Porter

Question. Mr. Porter. During last year's August break, I sent several mailings totalling approximately 15,000 pieces to the Folding Room. These mailings were mixed together and distributed improperly to my constituents.

When the problem was discovered following distribution of the mailings, my staff attempted to ascertain the scope of the problem from the Folding Room Staff. The Folding Room was uncooperative, and was unable to determine even who had been responsible for the mix-up.

I subsequently received an apology from the Folding Room for which I am thankful. However, given that the Folding Room staff was unable to determine who had processed the relevant mailings, it is clear that accountability is a significant problem, and probably contributes to a great number of complaints that are directed to your staff.

Please provide the Subcommittee with an overview of your efforts to enhance accountability within the folding room operation. How will your move to the new facility affect internal accountability?

Response. Mr. Molloy. It is unfortunate that the inability of the Folding Room staff to determine which machine operator had been responsible for the mistake in the handling of your August-break mailing appeared as lack of cooperation.

The reason that it was impossible to determine the specific operator who had made the error, was a procedure in effect at that time which was changed as a result of this error.

In an attempt to minimize the amount of time required to process a larger inserting order, when possible, these orders were processed simultaneously by several operators. In the specific incident noted, four operators had worked on the orders and it was impossible to determine which machine had been the source of the mix-up.

As a result of further review of our procedures during the past three months, a packet is being prepared for distribution to all Members' offices in the near future which will provide staff with revised procedures and forms to increase our ability to account for both materials and special processing instructions.

I am certain that the combination of increased internal accountability with care on the part of Members' staffs in providing clear written instructions and proper marking of materials sent to the Folding Room will result in even fewer errors in the future.

I am also convinced the Folding Room personnel, while not perfect, are extremely competent and maintain an extemely low error rate.

While the plans for the new printing facility are incomplete, I do not believe that the move to the new facility will directly affect internal accountability.

OFFICE OF THE POSTMASTER

Mr. **Fazio**. Now, for our Postmaster, Mr. Robert Rota.

Welcome, Mr. Rota.

Mr. **Rota**. Thank you.

Mr. **Fazio**. We will put your remarks in the record.

[The table for the Office of the Postmaster and the statement of Mr. Rota follow:]

OFFICE OF THE POSTMASTER

For salaries, including employment of substitute messengers and extra services of regular employees for the Office of the Postmaster, $4,105,000.

The Honorable Robert V. Rota and his associates are here to discuss the operations of the Postmaster.

POSTMASTER APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$2,610,000	$3,028,000	$4,105,000
Transfer	132,000		
Sequester		42,000	
Expenditures	2,703,000	680,000	
Unexpended balances	39,000	2,306,000	4,105,000

STATEMENT OF

ROBERT V. ROTA

Postmaster

U. S. HOUSE OF REPRESENTATIVES

BEFORE THE

SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS
HOUSE COMMITTEE ON APPROPRIATIONS

FOR THE

FISCAL YEAR 1991 BUDGET

MR. CHAIRMAN AND MEMBERS OF THE SUBCOMMITTEE, IT IS AN HONOR TO APPEAR BEFORE YOU ONCE AGAIN IN SUPPORT OF APPROPRIATIONS FOR THE OFFICE OF THE POSTMASTER. THE TOTAL APPROPRIATION REQUESTED FOR THE OFFICE OF THE POSTMASTER FOR FISCAL YEAR 1991 IS $4,105,000. THIS REPRESENTS AN INCREASE OF $1,119,000 OVER LAST YEAR'S APPROPRIATION OF $2,986,000 TO COVER LONGEVITY SALARY INCREASES, MERITORIOUS PROMOTIONS, AND COST OF LIVING ADJUSTMENTS. THE INCREASE WILL INCLUDE 40 ADDITIONAL MAIL CLERK POSITIONS, RECLASSIFICATION OF 30 PRIMARY MAIL CLERK POSITIONS, AND TWO SUPERVISORY POSITIONS.

DEVELOPMENTS IN 1989

INCOMING MAIL VOLUME WAS UP SIGNIFICANTLY -- 262.3 MILLION IN 1989 COMPARED WITH 156.6 MILLION IN 1988. THE INCREASE WAS ATTRIBUTABLE TO A NEW PRESIDENT, A NEW CONGRESS, AND CONTROVERSIAL ISSUES SUCH AS THE TAX INCREASE, CATASTROPHIC HEALTH CARE, MEDICARE, GUN CONTROL AND NICARAGUA CRISES.

IT IS IMPORTANT TO NOTE THAT GRASS-ROOTS CONSTITUENT MAIL COMING THROUGH THE U.S . POSTAL SERVICE INCREASED IN BOTH 1987, 1988, AND 1989. IN SHORT, INDIVIDUAL CONSTITUENT INQUIRIES INCREASED IN 1989 . IT IS THIS INDIVIDUAL CONSTITUENT MAIL WHICH REQUIRES THE MOST TIME AND ATTENTION OF BOTH CONGRESSIONAL OFFICES AND THE OFFICE OF THE POSTMASTER.

THE INCREASE IN AGGREGATE MAIL VOLUME IN 1989 REPRESENTS A RETURN TO THE TRADITIONAL PATTERN OF GROWTH EXPERIENCED OVER THE PAST SEVENTEEN YEARS. DURING THE PAST SEVENTEEN YEARS MAIL VOLUME HAS GROWN DRAMATICALLY DUE TO A NUMBER OF FACTORS; PARTICULARLY THE INCREASED ACTIVITY OF MEMBERS OF CONGRESS AND THE EXPANDED EFFORTS OF ORGANIZATIONS WHICH USE DIRECT MAIL CAMPAIGNS TO DEMONSTRATE PUBLIC INTEREST IN CERTAIN ISSUES. ISSUES BEFORE THE CONGRESS PRODUCE SUCH STRONG FEELINGS ACROSS THE COUNTRY THAT THE OFFICE OF THE POSTMASTER RECEIVES NUMEROUS COMPUTER-GENERATED MAILINGS PERTAINING TO THESE ISSUES .

SINCE I WAS ELECTED AS POSTMASTER IN 1972, THE VOLUME OF INCOMING MAIL HAS INCREASED MORE THAN FIVE-FOLD, THE NUMBER OF BUILDINGS SERVED HAS INCREASED BY 50%, THE NUMBER OF MAIL STOPS SERVED HAS GROWN BY 61%, AND WE HAVE ADDED A TOTAL OF 17 ADDITIONAL SERVICES. HAD OUR EMPLOYMENT INCREASED IN THE SAME PROPORTION AS OUR WORKLOAD, WE WOULD TODAY REQUIRE THE SERVICES OF MORE THAN 750 MAIL HANDLERS RATHER THAN THE 150 WE NOW HAVE.

CHANGING NATURE OF CONGRESSIONAL MAIL AND MAIL VOLUME STATISTICS

WE CONTINUE TO RECEIVE SUCH LARGE VOLUMES OF MAIL THAT U.S. POSTAL SERVICE ESTIMATES CAN BE MISLEADING. BECAUSE MOST MAIL NOW ARRIVES IN BULK -- SOME DELIVERED BY THE U.S. POSTAL SERVICE AND SOME BY AIR, BUS, TRUCK, AND OTHER PRIVATE CARRIERS AS WELL AS THE GOVERNMENT PRINTINGOFFICE-- THE POSTAL SERVICE FIGURES ONLY SHOW ONE PART OF THE TOTAL PICTURE. IN ADDITION, THE POSTAL SERVICE REPORTS A BOX OF MAIL AS A SINGLE UNIT, WHEN IN FACT THAT BOX MAY CONTAIN 500 OR MORE ENVELOPES. MOREOVER, POSTAL SERVICE FIGURES DO NOT INCLUDE THE "DEAR COLLEAGUE" LETTERS AND OTHER INSIDE MAIL OR MAIL HANDLED THROUGH OUR COURIER SERVICES TO THE WHITE HOUSE, SOCIAL SECURITY ADMINISTRATION, STATE DEPARTMENT, PASSPORT OFFICE, LIBRARY OF CONGRESS, AND EMBASSIES. NEITHER DO THE POSTAL SERVICE FIGURES REFLECT THE MULTITUDE OF GOVERNMENT PRINTING OFFICE ITEMS, RANGING FROM CONGRESSIONAL RECORDS TO CALENDARS, THAT ARE DELIVERED BY THE OFFICE OF THE POSTMASTER REGULARLY.

DESPITE THE FACT THAT POSTAL SERVICE FIGURES REPRESENT ONLY A FRACTION OF THE MAIL HANDLED BY THE OFFICE OF THE POSTMASTER, THESE STATISTICS ARE INCLUDED IN THE TABLES AND CHARTS ATTACHED TO MY STATEMENT. TO ATTEMPT A "HARD COUNT" OF ALL INCOMING MAIL WOULD DELAY DELIVERY AND ADD SUBSTANTIALLY TO OPERATING COSTS. USE OF POSTAL SERVICE FIGURES IS, THEREFORE, NECESSARY. BECAUSE OF THE CHANGED NATURE OF INCOMING MAIL, THE 262.3 MILLION FIGURE I GAVE YOU EARLIER IS AN APPROXIMATE TOTAL FOR CALENDAR YEAR 1989.

OFFICE OF THE POSTMASTER EMPLOYEES

THE OFFICE OF THE POSTMASTER HAS 150 PERMANENT EMPLOYEES. 138 OF THESE EMPLOYEES ARE CLASSIFIED AS MAIL HANDLERS WHO SORT AND DELIVER THE MAIL, THIS INCLUDES THE CLERKS WHO STAFF OUR FIVE FULL-SERVICE STAMP COUNTERS. IN ADDITION, WE EMPLOY EIGHT TRAINED MAIL SECURITY SCANNERS WHO OPERATE THE SOPHISTICATED X-RAY AND RADIATION-DETECTION EQUIPMENT THAT IS USED TO CHECK ALL INCOMING MAIL FOR EXPLOSIVE OR OTHERWISE DANGEROUS ARTICLES OR MATERIALS. OUR ADMINISTRATIVE STAFF CONSISTS OF 10 EMPLOYEES.

OFFICE OF THE POSTMASTER OPERATIONS

TO PROCESS THE MAIL RECEIVED BY THE HOUSE OF REPRESENTATIVES, WE OPERATE 21 HOURS A DAY. THE FIRST SHIFT ARRIVES AT 1:00 A.M. TO COINCIDE WITH THE FIRST MAIL DELIVERY FROM THE U. S. POSTAL SERVICE. MAIL DELIVERIES ARE RECEIVED EVERY HOUR ON THE HOUR. THERE ARE, OF COURSE, NUMEROUS ADDITIONAL DELIVERIES EACH DAY FROM SOURCES OTHER THAN THE

POSTAL SERVICE, THE MAIL PROCESSING UNIT USUALLY CLOSES AT 10:00 P.M., BUT REMAINS IN OPERATION LONGER, IF NECESSARY, TO PROCESS ALL MAIL ON HAND. INCOMING MAIL IS DELIVERED TO YOUR OFFICES WITHIN SIX HOURS OF THE TIME IT ARRIVES AT THE LOADING DOCK OF THE LONGWORTH HOUSE OFFICE BUILDING. OUTGOING MAIL IS COLLECTED FROM ALL FLOORS AND MAIL CHUTES FIVE TIMES DAILY, MONDAY THROUGH FRIDAY, AND THREE TIMES ON SATURDAY. IT IS THEN DISPATCHED TO THE U.S. POSTAL SERVICE EVERY HOUR ON THE HOUR FROM 2:00 A.M. TO 10:00 P.M. DURING THE WEEK AND FROM 4:00 A.M. TO 7:00 P.M. ON SATURDAY. OUR FULL-SERVICE STAMP COUNTERS OPERATE FROM 8:30 A.M. UNTIL 6:00 P.M. ON WEEKDAYS AND FROM 8:30 A.M. TO 1:00 P.M. ON SATURDAYS AND HOLIDAYS .

SUMMARY OF ATTACHED TABLES

MR. CHAIRMAN, I HAVE ATTACHED TO MY STATEMENT FIVE ITEMS FOR YOUR REVIEW. ATTACHMENT ONE SHOWS INCOMING LETTER MAIL RECEIVED IN THE HOUSE FROM 1972 THROUGH 1989. ATTACHMENTS TWO AND THREE REFLECT DETAILED POSTAL SERVICE FIGURES ON INCOMING

MAIL FOR CALENDAR YEARS 1983 THROUGH 1989. ATTACHMENTS FOUR, FIVE, AND SIX REPORT MONEY ORDERS, FEES, AND EXPRESS MAIL FOR CALENDAR YEARS 1983 - THROUGH 1989.

OFFICE OF THE POSTMASTER STAMP COUNTERS SOLD POSTAGE STAMPS TOTALLING $2 ,898,978.57 IN 1989. THIS FIGURE COMPARES WITH STAMP COUNTER SALES OF $1,761,511.23 IN 1988.

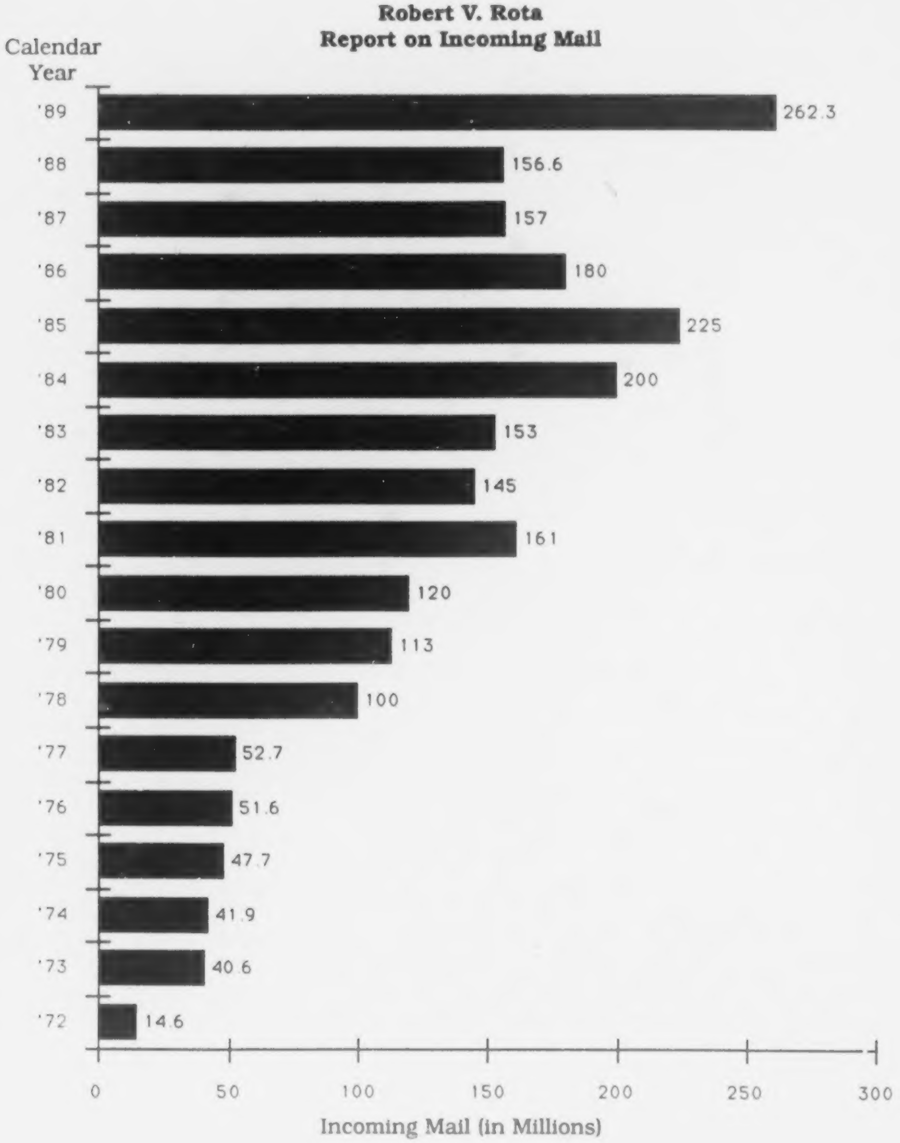
CONCLUSION

MR. CHAIRMAN, AS ALWAYS, I APPRECIATE THE OPPORTUNITY TO APPEAR BEFORE YOU TODAY. I AM PROUD OF THE JOB THE OFFICE OF THE POSTMASTER IS DOING AND OF THE GREATLY IMPROVED PRODUCTIVITY THAT WE HAVE ACHIEVED SINCE 1972. WE WILL CONTINUE TO DO EVERYTHING POSSIBLE TO ENSURE THAT MEMBERS RECEIVE THE HIGHEST QUALITY MAIL SERVICE IN THE MONTHS AHEAD.

THANK YOU.

Statement of Robert V. Rota
Page 8

Attachment 1



Attachment 2 (Part 1)

INCOMING LETTERS

PLEASE NOTE: The figures below, provided by the U.S. Postal Service, only reflect a portion of total mail volume.

	1989	**1988**	**1987**	**1986**	**1985**	**1984**	**1983**
January	2,501,500	2,650,500	2,407,000	2,633,000	2,576,000	2,693,000	2,957,000
February	4,499,000	3,401,000	2,663,000	2,773,500	3,893,000	3,545,500	3,526,500
March	4,877,000	3,751,500	3,196,500	3,107,500	3,541,000	3,966,000	3,716,500
April	4,923,500	3,526,500	3,239,500	2,872,000	4,737,000	3,955,500	2,616,000
May	4,413,500	3,105,500	3,087,000	3,165,500	4,572,500	4,955,000	2,990,000
June	3,231,000	3,044,500	2,774,500	2,790,000	3,335,500	2,722,000	2,960,500
July	3,532,500	2,940,000	2,959,000	3,259,000	3,870,000	3,580,500	2,822,500
August	3,162,500	2,947,000	2,656,000	2,997,000	2,998,000	2,909,000	2,448,500
September	3,522,000	3,947,000	2,676,500	2,883,500	3,446,500	4,059,000	2,961,000
October	3,427,500	2,188,500	3,322,500	2,047,500	3,471,000	3,095,000	3,346,500
November	3,240,000	1,850,000	3,126,000	1,843,000	3,052,500	2,803,500	2,626,500
December	3,497,000	2,277,000	2,958,500	2,021,000	2,772,000	2,082,500	3,409,000
TOTAL	**44,827,000**	**35,179,000**	**35,066,000**	**32,392,500**	**42,265,000**	**40,366,500**	**36,380,500**

Attachment 2 (Part 2)

INCOMING FLATS

PLEASE NOTE: The figures below, provided by the U.S. Postal Service only reflect a portion of total mail volume.

	1989	1988	1987	1986	1985	1984	1983
January	2,673,000	1,867,000	2,416,500	1,123,200	1,046,610	1,093,300	911,470
February	2,913,500	2,205,500	2,071,500	1,086,900	1,113,600	1,176,240	973,820
March	3,331,000	2,493,500	2,302,500	1,183,500	1,258,020	1,135,930	1,138,250
April	3,185,500	2,516,500	2,192,500	1,062,900	1,184,360	1,197,700	1,047,190
May	3,005,000	2,578,000	2,336,500	1,276,800	1,236,560	1,113,000	1,100,550
June	2,845,000	2,324,500	2,156,000	1,150,200	1,173,340	1,243,230	1,088,370
July	2,873,000	2,332,000	2,175,500	1,206,300	1,066,040	1,143,180	1,102,580
August	2,810,500	2,360,500	2,895,500	1,153,200	1,056,180	1,090,980	1,097,360
September	2,883,000	2,252,000	2,140,500	1,243,800	1,139,990	1,124,910	981,650
October	2,762,500	2,139,500	2,941,000	1,185,900	1,089,240	1,061,690	1,103,160
November	2,610,500	2,037,000	2,235,000	1,099,500	1,015,000	912,340	1,041,390
December	2,561,500	2,266,500	2,168,000	1,135,500	1,133,030	934,090	1,389,680
TOTAL	**34,454,000**	**27,372,500**	**28,031,000**	**13,907,700**	**13,511,970**	**13,227,190**	**12,975,470**

Attachment 3 (Part 1)

NEWSPAPERS

	1989	1988	1987	1986	1985	1984	1983
January	31,860	19,375	21,325	17,675	42,075	18,925	34,775
February	24,660	20,500	23,100	21,025	40,325	20,375	28,100
March	30,330	21,400	25,650	21,550	44,125	24,500	29,950
April	26,250	29,575	25,900	22,450	44,725	19,625	28,425
May	32,700	26,475	25,325	23,125	41,825	21,225	49,900
June	24,870	26,825	24,200	20,825	48,975	19,475	26,425
July	25,290	23,400	27,600	26,600	25,850	21,250	48,150
August	23,790	21,150	26,925	25,950	49,925	27,125	26,850
September	24,030	20,050	22,475	26,425	46,600	21,125	45,325
October	27,150	22,725	25,550	26,100	45,875	22,900	46,450
November	26,160	27,700	26,475	23,200	45,275	22,025	40,475
December	22,550	29,575	21,950	23,450	42,150	19,450	48,800
Total	**319,640**	**288,750**	**296,475**	**278,375**	**517,725**	**258,000**	**453,625**

PLEASE NOTE: The figures above reflect only those newspapers received through the facilities of the U.S. Postal Service. This represents only a small fraction of the total number of such periodicals received from organizations and other sources which are delivered, in bulk, directly to the Office of the Postmaster.

Attachment 3 (Part 2)

PARCELS

PLEASE NOTE: The figures below, provided by the U.S. Postal Service, only reflect a portion of actual parcels received.

	1989	1988	1987	1986	1985	1984	1983
January	675,200	471,000	407,800	219,000	356,200	408,200	211,000
February	777,200	504,200	445,200	379,200	365,000	434,000	397,200
March	739,400	497,200	506,400	217,000	381,000	436,800	212,400
April	705,000	549,400	475,800	225,600	286,600	428,000	212,000
May	762,400	511,600	514,000	245,000	300,000	465,600	219,200
June	643,000	514,600	512,800	391,000	283,200	406,400	397,400
July	705,600	479,000	506,600	236,000	382,000	375,000	218,800
August	671,000	450,800	481,000	237,000	325,600	428,600	360,400
September	671,600	461,400	439,200	242,800	383,800	383,400	388,000
October	654,000	529,400	565,800	262,200	378,800	401,200	209,800
November	644,400	480,400	546,400	238,600	382,400	209,800	381,000
December	713,200	533,400	540,600	253,800	391,000	215,000	401,000
TOTAL	**8,362,000**	**5,982,400**	**5,944,600**	**3,147,200**	**4,215,600**	**4,592,000**	**3,608,200**

Attachment 4

INCOMING REGISTERED AND CERTIFIED MAIL

	1989	1988	1987	1986	1985	1984	1983
January	2,793	2,527	2,698	2,611	2,756	2,612	2,475
February	2,969	3,259	2,992	3,797	3,031	2,525	2,678
March	3,705	3,088	3,154	4,160	3,109	2,780	2,936
April	6,026	3,861	2,811	3,617	4,047	3,593	3,740
May	3,345	2,917	2,548	3,155	2,578	2,555	2,446
June	4,112	2,654	2,705	2,782	2,805	2,157	2,379
July	4,307	3,756	3,816	4,136	2,958	3,000	3,171
August	4,442	2,801	3,598	2,867	2,836	2,412	2,497
September	4,373	3,057	2,549	3,112	2,585	2,288	2,281
October	4,989	4,337	3,604	4,296	3,750	3,856	2,424
November	4,557	1,982	2,662	2,618	3,191	1,919	2,220
December	4,643	2,545	2,253	2,514	2,435	2,372	1,779
TOTAL	**50,261**	**36,784**	**35,390**	**39,665**	**36,081**	**32,069**	**31,026**

Attachment 5

MONEY ORDERS AND FEES COLLECTED

Money Order Amounts

	1989	1988	1987	1986	1985	1984	1983
Station 2	$631,173.28	$565,161.75	$491,072.82	$425,639.96	$353,751.65	$249,347.14	$171,541.88
Station 21	201,222.34	172,706.16	141,649.22	73,796.76	136,623.42	73,276.45	90,792.52
Station 23	250,212.67	206,798.47	239,096.67	225,796.15	245,561.32	190,131.18	182,618.91
Station 24	264,179.22	222,653.35	208,886.67	187,137.10	144,764.71	104,929.40	100,638.49
Station 25	263,362.21	265,088.66	212,694.26	138,875.49	104,986.99	78,766.46	68,220.84
TOTAL	**$1,610,149.72**	**$1,432,408.39**	**$1,293,399.64**	**$1,051,245.46**	**$696,450.63**	**$613,812.64**	**$578,658.16**

Money Order Fees

	1989	1988	1987	1986	1985	1984	1983
Station 2	$4,360.00	$4,076.95	$3,655.25	$3,711.95	$3,319.29	$3,196.64	$2,504.85
Station 21	1,467.95	1,330.75	1,257.75	683.25	1,035.90	1,091.58	1,462.85
Station 23	2,120.50	1,618.75	2,045.25	2,160.59	2,193.80	2,290.50	2,182.80
Station 24	1,921.50	1,710.75	1,636.75	1,396.00	1,174.50	1,425.60	1,372.85
Station 25	2,046.50	1,923.95	1,706.25	1,417.40	1,184.65	1,116.96	1,071.65
TOTAL	**$11,916.45**	**$10,661.15**	**$10,301.25**	**$9,369.19**	**$8,908.14**	**$9,121.28**	**$8,595.00**

Station 2: Longworth P.O.; Station 21: Cannon P.O.; Station 23: Capitol P.O.; Station 24: Rayburn P.O.
Station 25: Annex #2 P.O. — This Station did not commence full service operations until June, 1979.

Statement of Robert V. Rota
Page 15

Attachment 6

INCOMING EXPRESS MAIL

	1989	1988	1987	1986	1985	1984	1983
January	7,090	2,545	1,684	1,272	1,866	1,371	822
Februry	6,450	3,180	1,900	1,209	1,815	1,560	1,008
March	8,830	5,340	2,712	2,448	2,355	2,170	1,251
April	9,700	6,270	2,452	2,055	2,277	2,094	1,524
May	8,490	4,430	3,015	1,791	2,388	2,106	1,584
June	10,395	5,934	3,960	1,566	2,337	2,154	1,536
July	7,560	7,250	3,965	2,169	2,013	1,589	1,566
August	5,710	7,040	2,508	1,899	1,362	1,449	1,197
September	6,980	8,420	4,104	2,160	2,133	1,962	1,914
October	8,111	7,810	4,265	1,434	1,869	1,599	1,503
November	8,821	7,630	4,344	810	1,639	1,215	2,157
December	5,529	5,530	4,712	1,113	2,811	1,515	2,409
Total	**93,636**	**71,379**	**39,621**	**19,926**	**24,865**	**20,784**	**18,471**

Mr. Fazio. You may proceed, Mr. Rota.

Mr. Rota. I will summarize my statement.

Mr. Chairman, Members of the Subcommittee, it is an honor to appear before you once again.

Mr. Fazio. How many times have you appeared before this committee?

Mr. Rota. Since 1972.

Mr. Traxler. Who was the Chairman then?

Mr. Rota. George Andrews of Alabama.

Mr. Traxler. He left just about that time?

Mr. Rota. Yes. Then we had Mr. Casey of Texas.

Mr. Traxler. Then Mr. Shipley took over?

Mr. Rota. He has been retired 11 years now.

Mr. Traxler. He is a crab fisherman in the Gulf of Mexico?

Mr. Rota. Yes.

Mr. Traxler. And operates two boats. He is probably the most successful former Member in the history of this body.

Mr. Rota. He enjoys his retirement.

Mr. Traxler. He is out on the Gulf every day at 5 a.m. lifting his traps, Mr. Chairman. If you want to visit him, it is an ideal spot. It is beautiful. He is one of the more fortunate Members. He enjoys life like no one else ever has.

Mr. Fazio. That's wonderful. We all should be so happy. Now, back to someone else who enjoys life.

JUSTIFICATION OF POSTMASTER'S BUDGET

Mr. Rota. Appropriations for fiscal year 1991, $4,105,000, representing an increase of $1,119,000 over last year's appropriations covering longevity salaries, meritorious promotions, and cost-of-living adjustments and 40 additional mail clerk positions, also reclassification of 30 primary clerk positions along with two supervisory positions.

Incoming mail for calendar year 1989 was up compared to the figure of 156.6 million in 1988. The mail received by the House for calendar year 1989, 262.3 million pieces of mail.

This was attributed to the new President and the new Congress.

Mr. Fazio. What percentage? Do you have that in percentage terms?

Mr. Rota. It is up 105.7 million or 67.5 percent over last year.

Most of this was attributed to the new President, the new Congress, and controversial legislative issues before the Congress, such as, the tax increase, catastrophic health, medicare, gun legislation, and so forth.

Mr. Chairman, I would be more than happy to answer any questions pertaining to my department.

RESTRUCTURING POSTMASTER'S OFFICE

Mr. Fazio. How are you doing on the backlog? Last year you had a horrendous backlog and we authorized 40 mail handlers to work it down. Are they still on the rolls?

Mr. Rota. No, they were temporary employees. We had hearings before the Committee on House Administration to seek approval for 40 permanent mail clerk employees. 20 permanent employees are on at the present time, and I was told that they would approve the other 20.

At that time we were asked to submit a complete reorganization. I did the whole office over. Mail flow has changed so drastically. In order to try to prevent anything like what was happening in the last several years to reoccur I am proposing to restructure my operation.

We had studies by outside firms for automation. Because of the way the constituents address mail to their Congressmen automation would not be cost-effective at this time. Unless I had a uniform address like "Hon. Vic Fazio, House of Representatives, Washington, DC", and nine-digit zip, then automation would be simple. But we receive mail addressed to "Mo" of Washington, DC, and other similiar and incomplete addresses. Our people know where it goes. We wanted to try to keep the constituency as familiar to the Members as possible and still be able to recognize who they're writing to and where to send it.

It takes quite a few employees just to locate the Members whose mail is addressed this way. Many letters are—believe this or not—addressed to "My Congressman, Washington, DC." We have to go by the postmark to forward it to that Member.

TURNOVER RATE OF PERSONNEL

Mr. FAZIO. Machines wouldn't be operative in this case?

Mr. ROTA. Not at this time.

We have a tremendous turnover in personnel. Part of the reason is that we have a hard time promoting anyone because there are no positions to promote them to. As they grow in seniority most of them want the easiest job because it is all the same salary.

Mr. FAZIO. Why can't you change that?

Mr. ROTA. We are. We reclassified 30 mail clerk positions to primary mail sorters, to give them more money. This reorganization will include—the administrative office, the stamp counters and the mailroom. This will generate incentives to all employees.

Mr. FAZIO. You are keeping those people on staff?

Mr. ROTA. We are trying to. The turnover has been unbelievable. I couldn't keep anybody. Members would come in and say, "Gee, that's a nice lady. Can I hire her?" I'd say, "Yes, sir, you are the boss." About the time they learn how to do something, they leave. It is happening every day to me. I am losing two of them this week.

Mr. FAZIO. Is it a salary problem?

Mr. ROTA. That is the problem.

Mr. FAZIO. You are paying very little to start with.

Mr. ROTA. Very little. I do have very loyal people—Joanna O'Rourke. I don't know why they stay. They have been offered some nice salaries.

Mr. TRAXLER. They like you.

Mr. FAZIO. They are shaking their heads yes and smiling, Bob.

Mr. ROTA. They will be asking for a pay raise.

SALARY STRUCTURE—OFFICE OF THE POSTMASTER

Mr. FAZIO. What is the structure now? What are you paying staff who are permanent? Your top handlers?

Mr. ROTA. Nancy is my deputy. She makes about $60 thousand. Joanna gets $36 thousand. Then they drop. They really do drop. My secretaries, they are all making $15 thousand. Within a short period of time, they all get better offers and leave.

[The following information was supplied for the record:]

Mr. ROTA. The employees of the Office of the Postmaster are classified at the following salary levels: Mail Clerks: HS-2 ($16,008-$22,789); Primary Mail Clerks: HS-3 ($18,443-$26,355); Security Scanners: HS-4 ($21,229-$29,138); Counter Clerks: HS-3 ($18,443-$26,355); Clerks-in-Charge: HS-4 ($21,229-$29,138); Mailroom Supervisors: HS-5 ($24,354-$33,403); Assistants to the Postmaster: HS-6 ($27,859-$36,911); Executive Assistant to the Postmaster: HS-7 ($37,477); Supervisor of Accounts: HS-8 ($36,280); and the Deputy Postmaster: HS-12 ($61,735).

Mr. FAZIO. Are the staff who handle the mail operating machinery?

Mr. ROTA. Yes.

Mr. FAZIO. It does take time to learn how to do that?

Mr. ROTA. Yes, sir. I reclassified all of those jobs. All of our security scanners who operate X-ray and radio-active equipment are trained by the bomb squad. I have an Assistant in charge of security now, Bill Lawson. He was with the Sergeant-at-Arms.

Mr. FAZIO. In terms of package bombs, things of that nature?

Mr. ROTA. Yes, sir. Bill did a study and found that eight technicians presently employed to run the X-rays are far too few. We are going to ask for eight additional X-ray technicians to run our two X-ray machines. Because no man or woman should spend more than 40 minutes at a time scanning mail.

Mr. LAWSON. 40 minutes.

Mr. ROTA. They will alternate. After you are there awhile, boredom sets in and they may miss something.

REDUCTION IN EMPLOYEE INJURIES

Mr. FAZIO. Obviously you are missing the more permanent staff who might serve as a solid foundation on which to bring in new personnel; is that correct?

Mr. ROTA. Yes, sir, permanent personnel.

The additional space was a big help. I was informed last week that our injuries have just about come to a halt. It was unbelievable how many employees were on workmen's comp.

Mr. FAZIO. These are people that didn't know how to run the equipment?

Mr. ROTA. No, sir. It was so congested, motor trucks were running over people's toes, hitting them in the legs. They were getting their heads and hands wrapped and cut in the tying machines. It seemed like it was an everyday thing that somebody had to go to the hospital. We have had very few injuries since we have moved into the additional mailroom. They have ample space now. Everybody is happy.

Mr. FAZIO. So the backlog has disappeared?

Mr. ROTA. Yes, sir.

Mr. FAZIO. You are handling more mail——

Mr. ROTA. Yes, sir and no backlog.

Mr. TRAXLER. Wait until next week.

Mr. OBEY. That is too bad.

ADDRESS CORRECTIONS

Mr. **Fazio**. Last year we had a proposal to save some of the costs of address correction mail.

Mr. **Rota**. Yes, sir.

Mr. **Fazio**. Would you speak to that?

Mr. **Rota**. Yes, sir. I met with you at different times on this. I did a study on that. I found the address correction requested for 1989 totalled $20,247.16. That is 30 cents per address corrected. It comes to $6 a day for a correction requested for the entire House of Representatives, an average of 67,400 letters per year, or 5,616 a month, or, 187 per day.

We are not charged if it is not corrected.

Mr. **Fazio**. What you are saying is there doesn't appear to be an opportunity for significant savings in that area?

Mr. **Rota**. Yes, sir.

Mr. **Fazio**. Could you explain why this might be more relevant to the Senate than the House?

Mr. **Rota**. All their mail is addressed mail. We have very little.

Mr. **Fazio**. Is the Senate using first class mail services, whereas the House uses postal patron or bulk rate?

Mr. **Rota**. May I go off the record?

Mr. **Fazio**. We have never had you before the Committee when you didn't go off the record.

Off the record.

[Discussion off the record.]

Mr. **Fazio**. Let's continue. What you are saying is that the address correction savings doesn't really apply?

Mr. **Rota**. Yes, sir.

Mr. **Fazio**. It might help if HIS made this available to Members' offices? You could do an even better job? I don't know how much could be saved.

Mr. **Rota**. It depends what it costs. The figure is only $20,000.

Mr. **Fazio**. So not much.

The Senate does offer some potential savings but at this point you are not in a position to estimate that?

Mr. **Rota**. That is correct. Their entire mailings are addressed.

Mr. **Fazio**. They don't use postal patron.

Mr. **Rota**. No, sir.

DIFFERENT MAIL RATES

Mr. **Traxler**. Could you give us the figures with the differences between a postal patron and first-class letters?

Mr. **Fazio**. I would like to get the mail permit costs versus postal patron as well. Could you provide that for the record.

[The information follows:]

Question. Could you give us the figures with the differences between postal patron and first class letters?

Response. Postal patron, 10.1 cents; first class, 25 cents; difference, 14.9 cents.

Question. Please provide mail permit costs versus postal patron costs.

Response. Permit Mailing. You must obtain a permit annually. After paying the permit fees there are a number of postal rates available, depending on the material being mailed and how the material is prepared for mailing.

Postal Patron. Carrier route presort. A permit is issued to the U.S. House of Representatives. The material is mailed according to standards set by the Franking Commission.

Mr. **Traxler**. I have a question you can answer on the record. If I were to do my postal patron mailing from my district, would I use your permit or do I have to get my own permit?

Mr. **Rota**. You can use the House permit.

Mr. **Fazio**. Thank you very much, Bob.

Are there any other questions? Mr. Obey?

MAILINGS FROM ORGANIZED GROUPS

Mr. **Obey**. I do have a question. Your statement talks about the expanded efforts of organizations which use direct-mail campaigns to the House. When my mail came here, I actually used to be able to basically figure out what it was that people really cared about. Today, individual mail is being buried by lobby operations.

Do you have any idea what percentage of mail comes into this place from organized groups with an ax to grind as opposed to family members on Main Street?

Mr. **Rota**. Special interest group mailings represent 62% of our total volume of mail. For example, the James Roosevelt mailing on Social Security. They can send in millions at a time.

What we have asked them to do is use the nine-digit zip to eliminate back logs. The Postmaster General is going to work with us with the shortening of that type of mail whereby it will be separated from our constituent mail so that it would not delay your constituent mail. At the present time it isn't.

Mr. **Obey**. That is not my concern. My concern is simply I am trying to figure out, of this tremendous increase in the numbers that you show here, how much of that increase is due to the fact that this place is being lobbied hard.

My point is very simple. We get squawked at for mailing to people. I will be very blunt about it. Well over half the mail I send out of my office is mail that corrects misinformation or partial information that comes from these self-appointed lobby groups who, first, they scare the hell out of the troops back home in order to justify their salary.

Mr. **Fazio**. For profit.

Mr. **Obey**. Then they send two or three follow-up letters to impress their membership on how closely they are paying attention to something. Eight times out of 10 it is not even a real issue out here. We have to answer all of this mail.

Mr. **Rota**. Special-interest groups represent 62% of our total. Social Security represents the largest portion. If you look at the chart in 1972, you see they were inactive. They only began after the computers started to get popular, in the 1980s. You see what happened to the mail volume in the 1980s.

Mr. **Obey**. I would be interested next year, if there is any way you can give us any idea how much of that 262 million pieces represents organized groups as opposed to individual.

Mr. **Rota**. I believe it is probably 50 percent or better? Probably better than 50 percent.

MAIL VOLUME IN MEMBERS' OFFICES

Mr. **Obey**. I am sure it is.

Do you have any idea how many hours it takes a Member's office just to sort mail that comes in there to their shops each day?

Mr. **Rota**. No. But I imagine you probably have one or two persons that does nothing but separate the mail.

Mr. **Obey**. It is amazing the time it eats up.

Mr. **Rota**. I know Danny Rostenkowski told me they had to hire two people just to open mail, they were receiving so much.

Mr. **Obey**. I have one person on my staff who does virtually nothing but allocate mail.

Okay. Thank you, Mr. Chairman.

Mr. **Fazio**. Is someone going to present us with the request for official mail costs? Mr. Anderson is coming back? That is fine.

Thank you very much, Mr. Rota. We look forward to working with you on these matters.

Mr. Myers' staff has quickly determined that third-class pre-sort is 10.1 cent and first-class is still 25 cents. So it is a difference of 15 cents. That is not an inconsequential amount.

We have been pushing for the use of third-class pre-sort as opposed to first class. That is hard to do because it is easier in the offices to mail first class on the frank.

The Clerk will proceed.

OFFICES OF THE CHAPLAIN AND PARLIAMENTARIAN

Mr. **Anderson**. At this point I would like, Mr. Chairman, to insert the figures for the Office of the Chaplain and the Office of the Parliamentarian.

[The tables follow:]

CHAPLAIN APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$78,000	$81,000	$105,000
Transfer	2,000		
Sequester		1,000	
Expenditures	80,000	20,000	
Unexpended balances		60,000	105,000

Office of the Parliamentarian

For the Office of the Parliamentarian, including the Parliamentarian, Compilation of Precedents and $2,000 for preparing the Digest of Rules, $890,000. Mr. Chairman, for your information, we have provided a combined table as well as separate tables showing actual and estimated appropriations and expenditures.

PARLIAMENTARIAN (INCLUDING COMPILATION OF PRECEDENTS) APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropiations	$746,000	$772,000	$890,000
Sequester		11,000	
Expenditures	626,000	158,000	
Unexpended balances	120,000	603,000	890,000

PARLIAMENTARIAN (EXCLUDING COMPILATION OF PRECEDENTS) APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$536,000	$552,000	$610,000
Transfer	(5,000)		
Sequester		8,000	
Expenditures	412,000	104,000	
Unexpended balances	119,000	440,000	610,000

COMPILATION OF PRECEDENTS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$210,000	$220,000	280,000
Transfer	5,000		
Sequester		3,000	
Expenditures	214,000	54,000	
Unexpended balances	1,000	163,000	280,000

Office of the Historian

H. Res. 209, which is pending before the Rules Committee, will transfer the Office of the Historian to the Office of the Clerk.

Dr. Raymond W. Smock is here with us today to discuss the operations of this office.

OFFICE OF THE HISTORIAN

Mr. ANDERSON. Next is the Office of the Historian. House Resolution 209, which is currently pending before the Rules Committee, will transfer the Office of the Historian to the Office of the Clerk.

Dr. Raymond Smock, our most excellent historian, is here to discuss the operations of his office.

Mr. FAZIO. Welcome. It is good to see you. I am hopeful the resolution means that you will be here for a number of years to come.

Mr. SMOCK. I couldn't agree with you more, Mr. Chairman. I am glad to be here and request appropriations for another year, for 1991.

I have my statement which has been submitted for the record. Rather than read it, I will summarize a couple of things.

[The table for the Office of the Historian and the statement of Dr. Smock follow:]

OFFICE OF THE HISTORIAN APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$261,000	$279,000	
Sequester		4,000	
Expenditures	216,000	29,000	
Unexpended balances	45,000	246,000	

Statement of Dr. Raymond W. Smock, Historian
Office of the Historian of the U.S. House of Representatives

Before the Subcommittee on Legislative Appropriations
House Committee on Appropriations

January 29, 1990

Mr. Chairman, members of the Subcommittee, I am pleased to appear before this subcommittee on behalf of the Office of the Historian. The total appropriation we are requesting for fiscal year 1991 is $303,000 for the operational expenses of the office. This request represents a $28,000 increase over our fiscal 1990 budget, which was adjusted downward to $275,000 as a result of sequestration. Most of the increase comes in the categories of meritorious and longevity salary increases, amounting to $22,000 over the amount appropriated for fiscal 1990.

Mr. Chairman, the Office of the Historian, formerly the Office for the Bicentennial, has completed the bulk of its bicentennial program for the House of Representatives and is now poised to build on the work generated for the bicentennial of the House over the past six years. With your permission I will append to this statement a "Report of the Office for the Bicentennial of the House, 1983-1989." We are pleased to report that our mission to coordinate the events of the House bicentennial through a series of publications, symposia, exhibits, and ceremonies has met with considerable success. Three of our publications are still in the pipeline and should be available over the next few months. These are Black Americans in Congress, Women in Congress, and The Origins of the House of Representatives: A Documentary Record. In addition we have worked closely with the Office of the Architect on a booklet entitled The United States Capitol: A Brief Architectural History, which should be published soon.

Everything we have done over the past six years has been designed to build a solid foundation for future historical research on the House of Representatives, and to continue our role of fostering interest in historical studies of the House among academic scholars around the country. We were instrumental in encouraging the Commission on the Bicentennial of the U.S. Constitution to fund a major project involving Congress called The Encyclopedia of Congress, which will be completed in three to four years and result in a one or two volume resource of information on Congress drawing on the best interdisciplinary scholarship in the country. The Commission on the Bicentennial of the U.S. Constitution has given a grant of $789,000 to the Lyndon Baines Johnson Library which will act as the administrator of the funds. Three distinguished editors are now at work on the project. They are Don Bacon, the biographer of Sam Rayburn and formerly an editor of U.S. News and World Report, Roger Davidson, professor of government and politics at the University of Maryland and formerly a government specialist with the Congressional Research Service, and Morton Keller, professor of history at Brandeis University, who has written extensively on Congress.

We are working also to interest a major academic publisher in launching a series of biographies on former Members of the House and Senate. As you will recall, at the Joint Meeting of Congress on March 2nd last year, the distinguished historian David McCullough called for more biographies to address this neglected field of study. We agree this is an area that could use serious attention and we want to do what we can to get such a series underway. Related to this we are currently discussing with the National Archives and the U.S. Capitol Historical Society the possibility of a series of biennial conferences that will focus on the Powers of Congress as enumerated in the Constitution. The Office of the Historian can act as an important catalyst in these projects, just as we did during the bicentennial.

But our main mission in the future, Mr. Chairman, should be to function where historians can best make a contribution to an understanding of the House of Representatives during its two-hundred years of existence. Historians must have contact with the vast records of the House in order to do their work and make a significant impact on how the House is studied. There is an axiom among historians: No Records, No History. I believe it is our fundamental mission to immerse ourselves in the historical records of the House and systematically study the development of the House through its records. The House generates vast quantities of records each year, many of them become part of the permanent holdings of the House, under the jurisdiction of the Clerk of the House, and are stored at the National Archives. In addition, there are thousands of collections of the papers of individual members scattered across the country in historical societies, state archives, and university archives. It is imperative that at least one small office in the House devote its energies to understanding and interpreting this mine of information in its historical context.

We propose that as a regular ongoing function of the Office of the Historian that we launch a series of documentary histories of the House. Our colleagues in the Senate Historical Office are proposing a similar project for the Senate. We envision eventually three series: House, Senate, and Joint. The topical volumes would explore through key documents the many ways the House and Senate carry out their constitutional responsibilities. Nothing like this has ever been done, but I am confident we can do it. With your permission I would like to append to this report a "Proposal for a Documentary History of the United States Congress," which spells out in more detail the plan we have developed. Naturally the first question you might ask is what is all this going to cost. I believe the project can be launched and move forward without any outlays beyond the operational expenses for the office that we are currently requesting. At some point over the next few years we may want to find ways to increase the staff assigned to the project, but I hope we can do this not through any large increases in staff in the Office of the Historian but through cooperation in the project from existing staff at the Library of Congress and at the National Archives.

Mr. Chairman, you will recall that during last years' testimony we discussed the placement of the Office of the Historian once the bicentennial was over. Since then the Subcommittee on Rules of the House has introduced H. Res. 209, which calls for the transfer of the Office from the Office of the Speaker to the Office of the Clerk of the House. On October 18, 1989, the Subcommittee on Rules of the House held hearings on the subject. I expect the resolution will come before the House early in this second session. Until the resolution is taken up, we continue to be administered by the Office of the Speaker, and through the Commission on the Bicentenary of the House chaired by the Honorable Lindy Boggs of Louisiana. While we look forward to the disposition of this matter, I can say wholeheartedly that we do not feel as though we are in limbo. Our work goes on, and we have had outstanding cooperation and support from the Office of the Speaker, the Clerk and his officers, and the various committees of the House and other officers of the House and staff members with whom we have regular contact.

The one persistent problem we have will come as no surprise to you, I am sure. It can be summed up in one word: Space. While our personnel has not grown much in the six years we have been in existence, our files and our operations have. We have outgrown the temporary office in the corridor that used to lead to the Men's Barber Shop in the Cannon Building. Our working research files have grown to the point where we have absolutely no room for expansion. And there is no privacy whatsoever in our open office. It is more difficult to research and write in an office where there is no way to close a door to get away from the other activities going on simultaneously in the office. We have insufficient space for the five persons on our staff now. One resides in a study carrel in the Library of Congress. While we are authorized to have a sixth position, I simply do not have a desk for another person and cannot contemplate hiring a person in this position unless I can find room for another desk. Our research files will continue to grow in the future, as they should. Right now we have a moratorium on the acquisition of books or files because we are completely out of room for another filing cabinet. Our couch, used for the seating of guests or for staff conferences, went several years ago to accommodate another work table. For meetings of more than three persons I must seek conference space elsewhere in the House office buildings or the Capitol. I am fully aware that space is not a problem confined to the Office of the Historian. It is at a premium everywhere on the Hill. But as director of the Office of the Historian I would be remiss in not bringing this to the subcommittee's attention, because I do believe it is a serious problem in our ability to carry out our duties in the most efficient manner possible.

In conclusion, let me say that it is always a great pleasure to come before this subcommittee and to have an opportunity to discuss the work of the Office of the Historian.

Since I am usually one of the last of the House offices to testify each year, I have the opportunity to learn a great deal from these hearings, and you, Mr. Chairman, and the other members of the subcommittee, have always been most kind to me and to the Office of the Historian. We are grateful for your interest and you understanding, and for your continuing support of our work. As you know Mr. Chairman, the member of this subcommittee that watches over us most closely is the Chairman of the Commission on the Bicentenary of the House, Mrs. Boggs. I guess I don't have to tell the members of this subcommittee, who work with her all the time, what a special honor it is to have her abiding interest in the history of the House.

THE DOCUMENTARY HISTORY OF THE UNITED STATES CONGRESS

EXECUTIVE SUMMARY

PROJECT DESCRIPTION -- This project would collect and publish documents explaining the institutional development of Congress from its origins in the eighteenth century to the present. In order to provide a comprehensive account of the institution's history, documents would be selected from personal correspondence and diaries, manuscript committee records, early newspapers, and the records of the executive and judicial branches as well as the official records of Congress. The published volumes would represent the first attempt to describe the function and development of the House of Representatives and the Senate through a survey of the entire variety of sources of congressional history.

ORGANIZATION -- The twenty volumes of the project would be divided into three series: House of Representatives, Senate, and Joint Congressional. The series for each body would cover such topics as elections, party organization and leadership, committee organization and rules. The joint series would examine the constitutional origins of Congress, appropriations and revenue, war powers, investigations and oversight functions, and impeachment. The fully-annotated volumes would contain approximately 600 pages and include an introductory essay and subject index. A comprehensive index would follow the twenty volumes.

PLAN OF WORK -- An initial volume in the joint series will be published in two years. The systematic search for documents in the Library of Congress, the National Archives, and major repositories around the country would require five years. Publication of subsequent volumes would proceed at the rate of two volumes a year.

STAFF -- The House and Senate historians would serve as general editors, and their respective offices would conduct the work of the project. The Library of Congress' Manuscript Division and the National Archives Center for Legislative Archives would each designate a full-time, professional staff member to assist in the search process. An editorial board of distinguished scholars and Members and officers of Congress would advise and oversee the project.

OBJECTIVES -- A collaborative effort to examine the vast and scattered sources of congressional history would offer Members, staff, and researchers a published reference source that described the structure and operation of Congress throughout its history. This closely-focused, long-range project would develop the expertise of the staff of the House and Senate historical offices and enable archivists in the principal repositories of congressional records to serve better the needs of researchers. The Documentary History of the United States Congress would contribute to a broader awareness of the work of the House of Representatives and the Senate and encourage further historical research on the legislative branch of government.

JUSTIFICATION OF HISTORIAN'S BUDGET

Mr. SMOCK. We are requesting $303,000 for operational expenses. This is a small increase of $28,000 over our 1990 budget. Most of this is in meritorious and longevity salary increases. During the past six years, we have tried to build a solid foundation for a permanent historical office in the House of Representatives.

We think we have done that. Most of our bicentennial projects are now behind us. We still have a few publications that are in the pipeline, printing resolutions that were passed just before the recess and now we are moving along with several books that are in the works.

After that procedure is over, our main bicentennial mission will be completed. Then we move into the phase of being the permanent history office of the House.

We believe it is very important that at least one small office in the House of Representatives devote its energies to understanding and interpreting the tremendous mine of information that the House of Representatives creates each year.

DOCUMENTARY HISTORY OF CONGRESS

Mr. FAZIO. How long has the Senate had a comparable body?

Mr. SMOCK. The Senate has had a historical office since 1975. One of the things we are proposing now, and we are now just walking around with this and showing the proposal to a number of individuals, a number of the leaders and other officers and to our own bicentennial commission, which is still active, is a proposal to do a documentary history of the institution.

For the first time, we hope to bring together a lot of different kinds of sources, not just the official records but the private papers of Members, newspaper accounts, and go back and look at the institution and how it has grown over 200 years. That is a big assignment.

It is going to take many years to complete. We think we can do it within the budget that is allocated for our office plus perhaps some help from the Library of Congress and the National Archives, but that, I think, is the fundamental mission of the office in the future.

In addition we will continue to do other things as we have done on the bicentennial. We will help the Members and officers of the House with various historical ceremonies and provide additional and ongoing services to the public and to the press when it relates to the history of the House.

Mr. FAZIO. Well, I know Mrs. Boggs lauds you for your consideration. She is very much convinced of your good work.

OFFICIAL HOUSE RECORDS

Mr. TRAXLER. Mr. Chairman, if a Member were to keep a daily diary for the 30-plus years he spends here——

Mr. FAZIO. It might be used by the Fair Employment Practices Panel.

Mr. TRAXLER [continuing]. And assuming the Member is fairly candid about the events of the day, what should, from a historical perspective, in order to protect parties involved, be named in the record, and what would be an appropriate time frame before that is published?

Mr. **Smock**. That would depend upon the information that is in there. Of course, the official records of the House, the committee records, are now sealed for 30 years. The private records, oftentimes would be sealed for, say, the life of the principals that are in the document.

Ten, fifteen years, perhaps longer. As historians, we can afford to wait. We prefer to see dust settle on the records. The more dust on the records, the less trouble we get into when we go in to look at them.

I would say the lifetime of the Member or the principals that were in the document. We encourage diary keeping—I would like to see more of that. It would make our life a lot easier if more Members did do that sort of thing.

In the 19th century, it was much more common for Members to keep diaries.

Mr. **Traxler**. It ought to be suggested to the new Members at the orientation sessions they attend. Maybe you ought to sit in on one of those orientation sessions and encourage them to do that. I know there is a Member doing that.

Mr. **Smock**. There are several keeping diaries.

Mr. **Fazio**. Mr. Natcher's work would be a valuable source.

Mr. **Traxler**. We get daily pledges from him that diaries are in his safe.

Mr. **Obey**. I think they ought to be forbidden.

Mr. **Traxler**. Nothing is to be more threatening to suggest you went into the diary that day.

STATUS OF TRANSFERING HISTORIAN TO CLERK

Mr. **Fazio**. Are there any other questions?

When do you think the resolution will be reviewed?

Mr. **Smock**. Right now, as I understand it from a conversation I had earlier today with the staff of the Rules Committee, the Subcommittee on House Rules, it is pending. I think the Speaker's Office is reviewing it right now, and, of course, we held hearings on it before the Subcommittee on House Rules last October 18.

A report has been drafted.

Mr. **Fazio**. Was it a positive hearing? Did you have much criticism or negative reaction?

Mr. **Smock**. Oh, no. It was a very positive hearing. The Clerk testified at that time. Of course, we think it is very appropriate for our office to fall under the administration of the Clerk since the Clerk is the chief officer that has authority over the papers of the House and we think our office can be of assistance in dealing with those matters regarding archives and historical issues that come before this vast body of material that keeps growing every year by thousands and thousands of cubic feet.

Mr. **Fazio**. Very good. It has been nice to see you, Ray. Thank you for coming.

Donn will be a great steward of your materials and work.

Mr. **Smock**. I know that for a fact.

Mr. **Anderson**. Thank you, Mr. Chairman.

Before moving on to the next witness, I would like to say for the record that the only journal kept by the Clerk of the House is that one imposed on him in the Constitution.

Mr. Fazio. There will be no Fishbait Miller-type memoirs from you; is that right?

Mr. Anderson. Indeed not.

Mr. Traxler. Sounds like another courtship promise.

In Donn's case, we know it to be true.

Mr. Fazio. We have a pre-nuptial agreement with him.

OFFICE OF THE LAW REVISION COUNSEL

Mr. Anderson. For salaries and expenses of the Office of the Law Revision Council, I am requesting $1,302,000.

Here, today, is the Law Revision Counsel, Mr. Edward F. Willett, Jr., ready to respond to your questions. I would like to insert the figures for the Law Revision Counsel.

Mr. Willett. Thank you, Mr. Chairman.

[The table follows:]

Office of the Law Revision Counsel

For salaries and expenses of the Office of the Law Revision Counsel, $1,302,000. The amount requested includes $1,267,000 for personnel and $35,000 for nonpersonnel items. These funds are requested by the Law Revision Counsel, Mr. Edward F. Willett, Jr., who is here today to respond to any questions you may have.

LAW REVISION COUNSEL APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$954,000	$1,032,000	$1,302,000
Sequester		14,000	
Expenditures	928,000	229,000	
Unexpended balances	26,000	789,000	1,302,000

U.S. CODE

Mr. Fazio. Is there anything out of the routine?

Mr. Willett. I would like to report on the new edition of the Code. Every six years we prepare a new edition of the United States Code. The 1988 edition is the new edition, which takes us up to the beginning of 1989. We are estimating it will comprise approximately 30 volumes totaling some 40,000 pages.

To date, we have completed 17 of the volumes and expect to have the remaining volumes finished by mid-year, immediately after which we will follow up with Supplement I, containing the 1989 laws.

So we are moving right along in that regard.

I would like to mention for a minute the Code retrieval and research system which I have kept the committee informed about over the years. What is significant is the increased usage of this system.

A year ago, I reported to you a 41 percent increase in the number of hours of usage of the system over the prior year. I can report this year that on top of that 41 percent increase, there has been a 23 percent increase. It is significant that the number of Member offices using it has increased. The increase is for a total now of 181 Member offices.

Mr. FAZIO. We are becoming more computer literate?

RE-CODIFICATION EFFORTS

Mr. WILLETT. Yes, we are.

The new employees, the younger employees that are being employed by offices are very familiar with the use of computers from their schooling. They have already utilized them in their college work. When they come in here, they are sitting down working at a terminal the very next day.

The increase in the total number of offices, Member offices, committee, legislative offices, has now reached a total of 220. I think that is a very encouraging report that HIS has furnished to us. The system has now also been put on the MIN network which means accessing is easier than it was under the special access codes that had to be used to access the data base.

I would like to mention the re-codification effort. We have two bills that will be ready for Judiciary Committee consideration this year, the Title 8 bill on immigration and naturalization, and the balance of the Title 49 codification, the transportation laws.

In conclusion, we continue to work with the Committee on Merchant Marine and Fisheries on the re-codification of Title 46, the shipping laws. We are now preparing the last portion of the Title 46 codification and hope to have it ready for the committee very shortly.

We expect it will be introduced this session. We have reason to believe that within the next year that project will be completed.

This concludes my remarks.

[The statement of Mr. Willett follows:]

STATEMENT OF

EDWARD F. WILLETT, JR.

LAW REVISION COUNSEL OF THE U.S. HOUSE OF REPRESENTATIVES

to the

Subcommittee on Legislative Branch Appropriations

of the House Committee on Appropriations

January 29, 1990

Mr. Chairman and members of the Subcommittee, it is a pleasure to appear before you with regard to the request for the Office of the Law Revision Counsel.

I am requesting $1,302,000 for Fiscal Year 1991, an increase of $284,000 over FY 1990 funding. Of this increase, $3,000 is attributable to nonpersonnel costs, and $281,000 is attributable to increased personnel costs. The increased personnel costs may be broken down as follows:

$34,000 for the January 1, 1990, comparability increase;
$205,000 for the January 1, 1991, comparability increases;
$28,000 for meritorious increases;
$14,000 for restoration of sequestration.

The amount requested for personnel funding is based on 18 employees, the same as in the past 5 years, and includes 10 positions for attorneys and 8 technical and clerical positions.

During the past year, work was completed on the last 3 volumes of U.S. Code Supplement V (1987) and on 17 of the estimated 30 volumes comprising the new 1988 edition of the Code. It is anticipated that work on the new edition of the Code will be completed within the next 6 months, and that Supplement I (1989) will be completed by the end of the year.

Usage of the Code research and retrieval system continues to show significant increases. H.I.S. advises that hours of usage of the system in 1989 were up 23 percent from 1988. This increase is on top of a 41% increase the previous year. The number of Member offices using the system increased from 117 to 181, and the total of Member, Committee, and other offices increased from 158 to 220.

The database of the Code research and retrieval system continues to be kept current by daily updating, affording users of the system the current text of any section of the Code, or the latest available text of that section plus citation to any later laws that amend or repeal the section. The text of Code sections is current through the end of 1988 for title 1 to 25 of the Code, and the text for the other titles is now being updated. On completion, work will begin to include the text of the 1989 laws.

In regard to the responsibility of the Office to prepare codification bills to enact titles of the Code into positive law, the Office has been revising several codification bills and accompanying draft committee reports containing reviser's notes and tables. The Office has also been providing codification assistance on several other bills.

Last year I advised you that the Office was redrafting a bill to codify title 8, "Aliens and Nationality". This work was completed and, in July, 1989, the draft bill was introduced as H.R. 2925. A committee print of a proposed report to accompany the bill was also printed and made available. Comments on the bill were solicited. For the purpose of making the bill ready for consideration by the House Judiciary Committee, amendments are now being prepared to incorporate several immigration laws enacted after the bill was introduced.

As I also informed you last year, the Office was revising and updating H.R. 4774, a bill to codify and enact the balance of title 49, "Transportation". As the result of transportation legislation enacted during the first session as well as additional agency comments received, the bill has been restructured and revised and will be ready early this session for introduction and consideration by the Judiciary Committee.

The Office has continued to provide assistance to the House Committee on Merchant Marine and Fisheries in its efforts to codify, with substantive changes, title 46, "Shipping". During the past year, the Office completed a draft of a bill that would codify the balance of title 46 (except for chapter 3 and subtitle III), and a general draft committee report to accompany the bill. Both the bill and report were printed as committee prints by the Merchant Marine and Fisheries Committee and have been circulated for comment. The Office also assisted the Committee in drafting a technical corrections codification bill that was introduced in October, 1989, as H.R. 3486. The substance of this bill was incorporated as part of H.R. 2459, that was enacted into law on December 12, 1989, as Public Law 101-225. The Office is now preparing a draft that will codify the last remaining portion of title 46.

U.S. CODE SUBSCRIPTION COSTS

Mr. **Fazio**. Any questions for Mr. Willett?

Mr. **Traxler**. I have a question but not precisely for Mr. Willett. It occurred to me when he was talking about the code that each of us has in our office a subscription either to the U.S. Code Annotated or some other reporting service, I assume. Donn, are you responsible for that?

What does it cost per year for every Member to have that service?

If you could supply it for the record.

[The information follows:]

Question. What does it cost per year to the House for subscriptions to the U.S. Code annotated?

Response. In fiscal year 1989 the cost to the House for the U.S. Code annotated was $300,000.

U.S. CODE AUTOMATED

Mr. **Fazio**. You are saying that the hard copies are superfluous. If one can access it on a computer, why have the books gathering dust?

Mr. **Traxler**. I don't want to suggest that is a place where we can save money.

Mr. **Fazio**. Why not? That is the reason that we are here.

Mr. **Traxler**. I leave that to the Chairman.

Mr. **Fazio**. I want to share the credit. That is a good suggestion.

Mr. **Traxler**. We spend a lot of time making legislation.

Mr. **Fazio**. You know we ask our staffs to access the legal materials. Increasingly, they go directly to the computer.

Mr. **Traxler**. Or the Library of Congress researches it.

Mr. **Anderson**. Mr. Traxler, we spend about $300,000 a year on subscriptions to the Code.

Mr. **Fazio**. We ought to take a look at it. It might be troublesome to some of our colleagues if they didn't have the law books. It is a good backdrop for pictures.

Mr. **Traxler**. Does fill up space in a glass cabinet in your office. We do use it maybe once a month or every two months. I don't want to speak for other Members.

U.S. CODE VS. U.S. CODE ANNOTATED

Mr. **Fazio**. Mr. Willett, please proceed.

Mr. **Willett**. Mr. Chairman, I should offer an explanation to clarify matters. The official United States Code contains the statutory materials only. The Code services you are subscribing to are annotated with court cases and references to CFR regulations that follow the law. Those Code services also are supplemented, usually on a quarterly basis. There are those who want to have an updated version in hard copy which the services do present that the official United States Code does not have and the annotations.

So there is a distinction.

Mr. **Traxler**. We understand. That is not the issue.

Mr. **Fazio**. At the point when new technology becomes available, we need to reevaluate the entire process.

Mr. **Traxler**. We could be down-sizing just like General Motors. And it is just as painful.

Mr. **Fazio**. We ran into similar objections, when we asked the GPO to scale down the distribution of the bound Congressional Record.

Mr. **Obey**. Don't you read them?

Mr. **Fazio**. Not before breakfast. After breakfast, I can't afford to take the chance.

Anyway, thanks very much.

Mr. **Willett**. Thank you, Mr. Chairman.

OFFICE OF THE LEGISLATIVE COUNSEL

Mr. **Anderson**. Mr. Chairman, for salaries and expenses of the Office of the Legislative Counsel of the House, $4,161,000.

Mr. David E. Meade, the Legislative Counsel of the House, is here today to discuss the operations of his office with the subcommittee. I would like to submit the figures for the Office of the Legislative Counsel at this point.

[The table follows:]

Office of the Legislative Counsel

For salaries and expenses of the Office of the Legislative Counsel of the House, $4,161,000. This request includes personnel funding of $4,121,000 and nonpersonnel funding of $40,000.

Mr. David E. Meade, the Legislative Counsel of the House, is here today to discuss the operations of his office with the Subcommittee.

LEGISLATIVE COUNSEL APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$3,222,000	$3,400,000	$4,161,000
Sequester		48,000	
Expenditures	3,213,000	839,000	
Unexpended balances	9,000	2,513,000	4,161,000

Mr. **Meade**. Thank you, Mr. Chairman.

Mr. **Fazio**. Good to have you.

This is your first formal visit as Legislative Counsel.

Mr. **Meade**. I am the fledgling new Legislative Counsel. I have only been here 28 years, not 43.

Mr. **Fazio**. It takes 28 years to learn to run the place.

We are glad to have you. We really do appreciate the work you folks do, particularly Bob Weinhagen and Ed Leong, who did such a great job for the Task Force on Ethics, under very adverse circumstances.

Mr. **Meade**. I was aware of every part of that.

I brought with me Roger Young, my Deputy, and Lynne Richardson, my Chief Clerk, using the committee language.

I have submitted a statement for the record. What I would like to do before I answer your questions is to highlight my statement.

As Donn points out, we are asking for $4,161,000. That is an increase, a substantial increase, over last year's appropriation. It is an increase of $809,000.

[The statement of Mr. Meade follows:]

January 29, 1990

Office of the Legislative Counsel
U.S. House of Representatives

Statement of David E. Meade, Legislative Counsel

Mr. Chairman and Members of the subcommittee, it is a pleasure to appear before you with regard to my request for 1991 funding.

I am requesting $4,161,000 for fiscal year 1991. This represents an increase of $808,600 over our fiscal year 1990 appropriation after sequestration of $47,600 ($3,352,400). All of this increase is attributable to personnel funding. The analysis of this increase is as follows:

Meritorious and Longevity Increases for 1991	$49,000
Annualization of FY90 and FY91 Increases	$712,000
Restoration of FY1990 sequestration	47,600

Of the $4,161,000, all but $40,000 of our appropriation goes toward paying staff salaries. Although we have 52 authorized staff positions, we currently have 49 employees. I have hired two attorneys who will begin with the office in September and October 1990, respectively. Their hiring brings the office to 38 attorneys, which I believe will be sufficient to serve the needs of the House for now. Because of space limitations, I do not intend to hire additional attorneys except to fill any vacancies which may occur.

As Mr. Fazio knows from his work on the ethics legislation, it is important that the House be able to draw on bipartisan professional assistance in enacting legislation. I am pleased to report that the Legislative Counsel's office was an active participant in each of several significant legislative actions taken by the House. Two attorneys guided the Banking, Finance, and Urban Affairs Committee in its frantic pace to enact legislation respecting the savings and loan industry, one attorney enabled the Education and Labor Committee to unscramble the deal made between the unions and the White House on minimum wage, four attorneys were instrumental in the passage of the ethics reform legislation, and eight attorneys were needed to put together the complex Reconciliation Bill, with two attorneys spending three nights at the office drafting the medicare agreement and the compromise on catastrophic insurance. All of these efforts involved highly complex issues drafted under extreme time pressures. In major efforts like these, our staff's combination of qualifications, training, and years of experience drafting under pressure make it possible for them to draft exceedingly complex legislation with speed and a minimum of errors. It is important to the Congress and to the country that this tradition of excellence be maintained.

Salary Adjustments

As the subcommittee is well aware, in the past my predecessor has asked for funds to increase the salaries of the attorneys in our office in an effort to attract and retain attorneys with the superior qualifications our office has traditionally sought. Although we cannot hope to match legal salaries in the private sector, I am hopeful that the ceiling on staff salaries will be raised in the near future pursuant to a pay order promulgated by the Speaker, so that I will be able to raise the salaries of at least the top 22 attorneys in the office. These lawyers have been with the office for many years (they range from 10 to 24 years of service) and have stayed with the office despite the allure of significant increases in pay if they go into private practice. The money spent to retain qualified and experienced legislative drafters will be returned many times over if the bulk of the important pieces of legislation continue to be drafted by highly trained and dedicated drafters. If we cannot keep our best people from going into the private sector, the quality of the legal services we can make available to the House will be seriously impaired.

I am very grateful that the Leadership of the House has accepted the office as an important part of the legislative process. This can only work to the benefit of the House and the Office.

This completes my prepared statement. I shall, of course, be happy to answer any questions you may have.

EXPLANATION OF FY 91 BUDGET INCREASE

Mr. **Fazio**. That is a rather unusual request for this office.

Mr. **Meade**. No question. What is even more unusual about it is that it is for personnel and personnel only—I am not asking for increases for any other expenses.

It is essentially to meet the Federal comparability increases.

The salaries in the office, thanks to Mr. Hussey and others, are high. Essentially, they are high because I have got a very dedicated professional staff with many years of service.

For example, ten percent of my staff have been with me for more than 20 years; 25 percent of my staff have been with me for more than 15 years. If you take the whole staff and add them all up, you come up with 36 attorneys who have put in 380 years.

What I am relying on, what the House is relying on, is the dedication and devotion to public service of these people, because as you and I well know, my two top tax lawyers could go out tomorrow and be earning quadrillion billion dollars and what I have to do is rely on their devotion to public service.

But I don't want to penalize their families. Consequently, what I am asking you for is the authority to go along with the comparability increases because I think that is the way that I can keep my staff onboard.

Mr. **Fazio**. In fact, this $809,000 requested increase is the result of pay increases. That would apply to staff at their higher pay levels?

Mr. **Meade**. That is correct. Exactly, Mr. Fazio.

We are starting out with the fact that I have—of my 36 attorneys, 22 of them are at the top. What I do——

EMPLOYMENT LONGEVITY OF ATTORNEYS

Mr. **Fazio**. How long have most of them been at the top of their levels? Some staff have probably been limited for a number of years?

Mr. **Meade**. Oh, yes, of course. I just raised two of them last year, so 20 of them have been completely limited for a number of years. What we do in the office, the practice that Ward began, was that if an attorney will stay with me for ten years, I will raise him to the top. What I am doing, obviously, is competing against Covington and Burling downtown who are paying these extraordinary salaries.

I try to raise them as quickly as I can.

So far, knock on wood, we are very successful.

As I say, 10 percent with 20 years, 25 percent with 15 years—that is 35 percent of the staff with 15 or more years of service.

I think that is the way it is going to be.

But that is what is needed for us to be able to provide the services.

CURRENT SALARIES OF ATTORNEYS

Mr. **Fazio**. Just for the record, how much are these people making now? Do you want to give us a range?

Ms. **Richardson**. They are making $80,000 and above.

Mr. **Meade**. The 22 that I talked about are making $80,000 and above. That is correct.

Mr. **Fazio**. Most of these people could be making $200,000 starting without any question, and maybe more depending on circumstances.

Mr. **Meade**. This was an exciting year for our office last year. We were involved in every piece of significant legislation. We had four attorneys who were involved with your ethics and pay legislation.

Mr. **Traxler**. Do we blame them?

I know the answer.

Mr. **Fazio**. They are volunteering a lot of time.

Mr. **Meade**. But that is all I have to say. I am happy to answer any questions.

Mr. **Fazio**. Any questions?

Thank you, Dave. I appreciate seeing your advancement to the top as you have.

Mr. **Meade**. Nice to be here. Nice to be a part of this.

OTHER ITEMS UNDER THE CLERK'S JURISDICTION

Mr. **Fazio**. The Clerk may proceed.

Mr. **Anderson**. At this time, Mr. Chairman, I would like to submit for the record materials for the Minority employees of the House, for the House Democratic Steering Committee and Caucus, for the House Republican Conference, and for other authorized employees.

[The tables follow:]

SIX MINORITY EMPLOYEES APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$521,000	$543,000	$677,000
Sequester		8,000	
Expenditures	402,000	115,000	
Unexpended balances	119,000	420,000	677,000

The House Democratic Steering Committee and Caucus

For salaries and expenses of the House Democratic Steering Committee and Caucus, $1,215,000. The amount requested includes $1,165,200 for personnel and $49,800 for nonpersonnel items.

The House Democratic Steering Committee and the House Democratic Caucus are each entitled to a Lump Sum Allowance and a Statutory Allowance. For the purpose of illustration, I have included the consolidated and individual tables which show actual and estimated appropriations and expenditures.

THE HOUSE DEMOCRATIC STEERING COMMITTEE AND CAUCUS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$803,000	$967,000	$1,215,000
Sequester		14,000	

THE HOUSE DEMOCRATIC STEERING COMMITTEE AND CAUCUS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES—Continued

	Fiscal years		
	1989	1990	1991
Expenditures	795,000	208,000	
Unexpended balances	8,000	745,000	1,215,000

THE HOUSE DEMOCRATIC STEERING COMMITTEE APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$648,000	$682,000	$797,000
Transfer	5,000		
Sequester		10,000	
Expenditures	644,000	147,000	
Unexpended balances	9,000	525,000	797,000

THE HOUSE DEMOCRATIC CAUCUS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$155,000	$285,000	$418,000
Transfer	(5,000)		
Sequester		4,000	
Expenditures	151,000	61,000	
Unexpended balances	−1,000	220,000	418,000

THE HOUSE REPUBLICAN CONFERENCE

For salaries and expenses of the House Republican Conference, $1,215,000. The amount requested includes $1,175,600 for personnel and $39,400 for nonpersonnel items.

The House Republican Conference is entitled to a Lump Sum Allowance and a Statutory Allowance. In order to maintain parity, the allowances and overall appropriations are equal to those of the House Democratic Steering Committee and Caucus.

THE HOUSE REPUBLICAN CONFERENCE APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$803,000	$967,000	$1,215,000
Sequester		14,000	
Expenditures	803,000	205,000	
Unexpended balances		748,000	1,215,000

OTHER AUTHORIZED EMPLOYEES

For the payment of salaries for Other Authorized Employees, $1,608,000. Mr. Chairman, this includes $125,600 for the Technical Assistants in the Office of the Attending Physician, $988,700 for L.B.J. Interns, and $389,000 for the Former Speakers' staffs. In addition, $104,700 is funded for Leadership Drivers. I would like to insert for the record a consolidated table and individual tables showing appropriations, actual expenditures and unexpended balances.

OTHER AUTHORIZED EMPLOYEES APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total Appropriations	$1,182,000	$1,264,000	$1,608,000
Transfer	95,000		
Sequester		18,000	
Expenditures	1,199,000	180,000	
Unexpended Balances	78,000	1,066,000	1,608,000

TECHNICAL ASSISTANTS IN THE OFFICE OF THE ATTENDING PHYSICIAN APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$59,000	$115,000	$125,000
Transfer	35,000		
Sequester		2,000	
Expenditures	94,000	28,000	
Unexpected balances		85,000	125,000

L.B.J. INTERNS AND FORMER SPEAKER'S STAFF APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$1,012,000	$1,046,000	$1,378,000
Transfer	60,000		
Sequester		15,000	
Expenditures	1,034,000	142,000	
Unexpended balances	38,000	889,999	1,378,000

LEADERSHIP DRIVERS APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$111,000	$103,000	$105,000
Sequester		1,000	
Expenditures	71,000	10,000	
Unexpended balances	40,000	92,000	105,000

CERTAIN JOINT ITEMS

Mr. **Anderson**. Let me include the figure for the Joint Committee on Taxation, $5,450,000 and the Office of the Attending Physician, $1,450,000 to be disbursed by the Clerk of the House.

[The tables follow:]

Joint Committee on Taxation

The amount requested for salaries and expenses of the Joint Committee on Taxation, $5,450,000. This is an increase of $1,097,000 over the amount appropriated in FY '90.

JOINT COMMITTEE ON TAXATION APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$4,346,000	$4,372,000	$5,450,000
Drug Funding		19,000	
Expenditures	3,818,000	298,000	
Unexpended balances	528,000	4,055,000	5,450,000

Office of the Attending Physician

For the Office of the Attending Physician, $1,450,000 to be disbursed by the Clerk of the House. Of this amount, $1,063,000 or approximately 73% of the total request is reimbursable to the Department of the Navy for military personnel and equipment assigned to the Office of the Attending Physician.

ATTENDING PHYSICIAN APPROPRIATIONS, ACTUAL EXPENDITURES, UNEXPENDED BALANCES

	Fiscal years		
	1989	1990	1991
Total appropriations	$1,414,000	$1,405,000	$1,450,000
Drug Funding		6,000	
Expenditures	1,345,000	15,000	
Unexpended balances	69,000	1,384,000	1,450,000

OFFICE OF THE ATTENDING PHYSICIAN

Mr. **Anderson**. At this time I would like to present to the committee Dr. William Narva, the Attending Physician at the United States Capitol.

Mr. **Fazio**. Dr. Narva, it is nice to see you. I appreciate your patience with us since you have been waiting so long.

SALARIES OF NURSES

Dr. **Narva**. I have no opening statement to make.

We have no requests for any major big-ticket items for the office. We have some minor increases that are commensurate with some Navy reimbursable support dollars and that is the only increase.

My only recommendation is that I have written to the Architect about our nursing staff. We have 12 nurses who, since 1974, have not had a GS-grade increase, and listening to the lawyer who preceded me, we have the same competitive problem in seeking nurses.

Mr. **Fazio**. At what grade is Katie currently?

Dr. **Narva**. They are all GS-10s.

Mr. **Fazio**. These people have been with you how long?

Dr. **Narva**. Katie, over 14 years.

Mr. **Fazio**. How about some of the others, Charlotte?

Dr. **Narva**. From 22 years to just recently. We have had two nurses retire. We had one nurse depart because she got a better employment package elsewhere, and Charlotte moved because of a family requirement. So that chased us out into the open market and I saw how competitive it is.

It is clear to get quality nurses that we really should consider the rate increase to a GS-11.

The other request I am making of the Architect is to add one additional nursing position because it is not so much a matter of the workload but all of the added quality assurance programs now in effect. Our nurses are being tasked with these additional assignments. We have one nurse on each side, one on the Senate and one on the House, who are responsible for CPR instruction and certification. We are trying to instruct all 20,000 employees to do CPR.

We also now have an additional tasking to centralize all of our allergy immunizations in one building. There is a recommendation that has come forth by the American Academy of Allergy that all injections should be done in the presence of a physician. So we are in the midst of moving approximately 800 "allergy-shot" recipients into the Capitol first aid room. We want to set that up as fast as we can.

ALLERGY SHOTS

Mr. **Fazio**. Tell me about the allergy program.

Dr. **Narva**. We will be doing 800 immunizations a month, 200 a week, in the Capitol next to our office.

Mr. **Fazio**. Who is currently eligible to receive the shots? Members and staff?

Dr. **Narva**. Yes. The requirement is that the staff people bring a letter from their allergist. Otherwise these people have to disappear for a day from their office to visit their allergist.

We reached an agreement with the private allergists to keep the vaccine in our refrigerator and work out a schedule that is commensurate with their physician. This is a special service we offer to preclude the patient from having to take time away from their job to visit their doctor for these injections.

Mr. **Fazio**. Sure. I know how poorly I attended before I was elected to Congress and began receiving my allergy shots here. So your budget will request, then, additional monies for pay?

Dr. **Narva**. Yes, but the nurses are on the Architect's payroll. I have written to the Architect and I think he will be bringing this up for your consideration.

Mr. **Fazio**. All right. Are there any other questions for Dr. Narva?

Mr. **Obey**. Just two. What, if any, coordinating is done with the various restaurants around here and your shop on the issue of diet, cholesterol, salt, primarily?

Dr. **Narva**. You are talking about the restaurants in the Capitol? We have not gotten involved with that. There has been recommendations that a nutritionist be hired by each one of the restaurants to provide that specific kind of guidance.

I think that has been accomplished, at least on the Senate side.

Mr. **Obey**. They don't look any better. [Laughter.]

Mr. **Fazio**. They are saltier.

Mr. **Traxler**. A little more peppery, too.

USE OF TRAINING EQUIPMENT

Mr. **Obey**. What about the—well, I will leave the other question. It is my favorite subject and there is no sense my getting into it. You know what it is.

Mr. **Fazio**. Please proceed.

Mr. **Obey**. My frustration is that you have Members in stressful situations and they ought to take advantage of exercise opportunities in a civilized way. Half of them don't have the foggiest idea of what they are doing, including yours truly, on some of those machines.

I think it would be useful to have coordination between your shop and the gym so that those machines are being put to good use and Members using them are using them in the right way so they don't do more harm than good.

I don't know what it takes, by the way, of persuasion of the committee in order to have some cooperation with your shop so that Members are eventually in better physical condition.

Mr. **Fazio**. I happen to agree with you, and I know Mr. Lewis does, too. The problem is that the gym committee hasn't been as interested in this as some of the Members in this committee, but I am still hopeful that the situation will change and we will have more opportunity to have interaction between the professionals.

Mr. **Obey**. It would be nice if Members got instructions on those machines before they go to your shop for repair is the point I am making.

Mr. **Fazio**. It is particularly important to receive initial instructions on the equipment. You are not the foot dragger there, I know.

Dr. **Narva**. I would prefer going off the record and discussing this with you and Mr. Fazio in private.

Mr. **Obey**. Yes, I know that is the way I discussed it for three years. I know what the bottleneck is. As I say, I know it is not you.

Mr. **Fazio**. You do remain interested in that kind of an arrangement, I suppose.

Dr. **Narva**. I will use the word "appropriately" interested, Mr. Fazio.

Mr. **Fazio**. Are there any other questions?

Mr. **Traxler**. As long as we are going off the record.

[Off the record.]

Mr. **Fazio**. Let's continue on the record.

Thank you, Dr. Narva, for joining us today. I am not aware of any problems in your office. Operations look good, including the system you are using in the pharmacy. Everything seems to be going very well.

Dr. NARVA. I really have no anxieties about the way we are performing.

Mr. FAZIO. It is kind of a group practice in a way that it wasn't before.

Dr. NARVA. Yes, sir.

DISCUSSION ON FLU SHOTS

Mr. TRAXLER. A trivia question. Flu shots, is that by needle only or when can you use a pressurized system for injections?

Dr. NARVA. You can use it if you have got the gun. I am not sure why you would ask that question.

Mr. TRAXLER. I only ask the question because some people are not particularly enamored with needles.

Mr. OBEY. That is all right. When they use a needle they hold your hand, Bob.

Mr. TRAXLER. They need to hold both my hands. [Laughter.]

Dr. NARVA. We can get it in with a needle less traumatically than with a gun.

Mr. TRAXLER. That is the kind of assurance I need. Thank you. Excellent.

It was more my own curiosity. There are no dull needles in your shop. They are very, very competent people. Painless.

Mr. FAZIO. What kind of flu vaccines did you use this year? The one that is going around?

Dr. NARVA. Yes. They hit the mark this year.

Mr. FAZIO. I received my shot. I am not afraid.

Mr. TRAXLER. Will those that are afraid of a shot raise their hand.

Dr. NARVA. It is not too late. [Laughter.]

Mr. TRAXLER. You have 15 minutes.

Dr. NARVA. We will hold the shop open for you.

Mr. FAZIO. Has everyone had their flu shots? This is your last chance. If you had the flu, you are all right. Thank you very much.

OFFICIAL MAIL COSTS

The Clerk may proceed.

Mr. ANDERSON. Turning now to official mail cost.

Mr. Chairman, the provisions of the fiscal year 1990 Appropriations bill established separate funding levels for the House and Senate. Based on current information received from the U.S. Postal Service, an estimated 381.6 million pieces of mail will be distributed in fiscal year 1991 at an estimated cost of $58,984,000 for the House.

The current appropriation as provided in the fiscal year 1990 bill is $43,992,000. The current estimate for the House as provided by the U.S. Postal Service for fiscal year 1990 is $84,252,000 for 569.8 million pieces of mail. Their estimate is based on past historical trends and does not take into consideration any of the recent measures adopted in the fiscal year 1990 bill concerning mail. We will need to review the funding needs as actual data becomes available.

The Clerk of the House received billings totalling $89,504,133 from the U.S. Postal Service for franked mail costs incurred during the four quarters of fiscal year 1989. These billings represented 372.2 million pieces of mail for the House totalling $57.2 million or 64 percent of the bill, and 226.6 million pieces of mail for the Senate totalling $32.3 million or 36 percent of the bill.

The amount appropriated for fiscal year 1989 was $53.9 million. Of that amount, $1,173,187 was used for the deficiency for fiscal year 1988 and provisional payments of $52,752,812 were made for fiscal year 1989. $31,721,000 was provided in fiscal year 1990 to cover the projected deficiency. As you can see, the total funding available for fiscal year 1989, $84,452,812, is not sufficient to cover the total cost of $89,504,133 by $5,030,321.

In a letter to the Senate on January 9, 1990, I advised them that I would disburse to the Postal Service the $31,721,000 and $3,219,405 or 64 percent of the total deficiency, which represents the House portion. I have submitted an amendment to my fiscal year 1991 request in the amount of $3,220,000 to OMB for the portion of the fiscal year 1989 deficiency paid from fiscal year 1990 funds. A copy of the letter to OMB is provided for inclusion in the record.

[The letter follows:]

Donnald K. Anderson
Clerk

R. S. McGuire, Chief
Office of Finance

Office of the Clerk
U.S. House of Representatives
Washington, DC 20515-6601

January 18, 1990

Honorable Richard G. Darman
Director, Office of Management and Budget
Executive Office of the President
Executive Office Building
Washington, DC 20505

Dear Mr. Darman:

I submit the following amendment to the fiscal year 1991 Appropriation request for the Legislative Branch, U.S. House of Representatives:

For "Joint Items"
"Official Mail Costs-House", $3,220,000.

With kind regards, I am

Sincerely,

Donnald K. Anderson
DONNALD K. ANDERSON, Clerk
U.S. House of Representatives

DKA:mjd

Mr. **Fazio**. So we are a little short for 1989.

Mr. **Anderson**. Yes, we are, Mr. Chairman.

STATUS OF FY 90 OFFICIAL MAIL COSTS

Mr. **Fazio**. Obviously, you will probably be short in 1990? It is hard to say at this point. Perhaps the bottleneck in the folding room will slow things down a little bit. At least this situation looks like we are on a collision course with reality.

When will you be getting an estimate from the postal service for 1990?

Mr. **McGuire**. We will start receiving the actual bill in the next several weeks to see what the first quarter performance has been to date. That will give us some indication of what the trend is going to be.

Mr. **Fazio**. It says not later than two weeks after the date of each quarter in a fiscal year or as soon as practicable thereafter the Postmaster General shall send the Clerk . . . a tabulation of the estimated number of pieces and costs of franked mail . . .

Mr. **McGuire**. We have not yet received the first quarter's report.

Mr. **Fazio**. So they are a little behind and not in compliance with the law. Are they aware of it?

Mr. **McGuire**. Yes, we have been in contact with them on the telephone asking them where it is and where they are going and when it is going to arrive.

Mr. **Fazio**. We have to begin to get with the program because we are going to take measures to try to live within our means.

We will be looking forward to whatever information you are able-to obtain for us. That is not the term I should have used. We will be anticipating it with dread.

But, we can't really do much until we get that information.

Mr. **McGuire**. As you know, Mr. Chairman, we have made it a practice over the last several years as soon as the quarterly bills arrive we inform the subcommittee.

Mr. **Fazio**. Thank you very much. We will be in touch.

CONCLUSION OF CLERK'S TESTIMONY

Mr. **Anderson**. Mr. Chairman, again this year I would request to—I would ask to insert for the record the Statement of Appropriations item and my conclusion.

[The information follows:]

Statements of Appropriations

For FY '91, a request of $20,000. One-half is to be disbursed by the Secretary of the Senate and one-half is to be disbursed by the Clerk of the House.

Conclusion

This concludes my presentation to the Subcommittee of both general and specific information on the House of Representatives fiscal year 1991 budget and certain Joint Items disbursed by the Clerk for both the House and Senate. Any further requests for information will be welcome and will be answered promptly. Any further assistance that can be provided to the Subcommittee as you conclude your deliberations and mark up a bill will be provided in an expeditious and cooperative manner.

The proposed funding that I have included in the fiscal year 1991 budget is prudent in all respects and reflects the best estimates of the funds required for the efficient and economical operations of the House, its Members and all offices to serve the American public.

It has been a pleasure to appear before this Subcommittee, and I again invite your advice on the operations of the Clerk's Office.

OFFICE OF SPECIAL SERVICES

Mr. FAZIO. I will be happy to insert it. However, before you conclude, I would like to talk about the Office of Special Services since you are here and have played such a key role in that entity.

Mr. ANDERSON. The Joint Office of Special Services has been established. It is underway, up and running. We are providing services to various categories of handicapped Americans so that they have equal access to and an opportunity to enjoy visiting the Capitol Building and respond to Members who may require interpretive services.

Our big problem is space. Right now when all of the employees are present at least one, possibly two, must stand outside the office. It is that small. There is simply not room for them to physically sit down in that office.

I would like to explore with the Chairman the possibility of annexing a contiguous space to which there already is a doorway which would be ideally suited for the purpose of this very important office to satisfy the needs of handicapped Americans.

OFFICE SPACE PROBLEM

Mr. FAZIO. This would be something that we should discuss with the Architect?

Mr. ANDERSON. I think so, yes.

Mr. FAZIO. This space is on our side of the Capitol?

Mr. ANDERSON. It is on the Senate side.

Mr. FAZIO. So they would expand the Senate side but it would be adequate for the joint staff?

Mr. ANDERSON. Yes.

Mr. FAZIO. There no longer is any distinction?

Mr. ANDERSON. No, none whatsoever, and we are very happy that the joint office has been established.

Mr. FAZIO. This space is being used by the Architect for some purpose?

Mr. ANDERSON. It is some kind of record storage area. It is not a daily work space to my knowledge.

Mr. FAZIO. But it would be adequate to house the joint office?

Mr. ANDERSON. It would be ideal. The doorway is already there. It is just a matter of unlocking it.

Mr. FAZIO. The budget request that you made for the Special Services Office this year is not too great, an increase of $19,000.

Mr. MCGUIRE. Just the cost of living adjustment.

CAPITOL VISITORS CENTER PROPOSED

Mr. FAZIO. We will see what we can do to help you on that space. I want to thank you for your personal assistance in making that happen. In a year in which the Congress is going to be passing landmark legislation for the disabled, we should be looking at our own situation here and make sure that we do a better job of meeting the needs of the people who come here expecting to get some flavor for the work and history of the Congress. This new entity will project us a long way in that direction.

In that regard, just as an additional task, when space becomes available and the security plan is ultimately agreed to, I am interested in a visitor's center on the Capitol grounds so that visitors can receive information on the Congress and the Capitol complex. Perhaps they could view a brief film before they enter the Capitol building. Is there any possibility that we can put together an informal group to talk about that?

Mr. ANDERSON. Absolutely. I am delighted to hear you bring that topic up.

Mr. FAZIO. I should have mentioned it when Dr. Smock, the historian and Tom Nottingham, the Chief Guide, were here. But I think of you as our amateur historian.

Mr. ANDERSON. Dr. Smock is aware of the thoughts that I and my staff have had regarding a visitor's center to fulfill a number of needs. The building as it is currently presented to the growing millions of citizens and visitors from other countries affords a little more than an architectural tour and a limited one at that. There is visually no focus on the process that takes place beneath the dome. Nothing that interprets what the Congress is, historically as a parliamentary institution or how that process works, in response to the needs of the people.

There is little to explain the great concept of government by consensus. There is no place to put those things here. We have discussed the possibility at some future date of having a visitor's center/museum where visitors could come, see films, slide shows and exhibits, about the Congress historically and about what it is today, how it functions in response to their needs. Perhaps it would include an adequate cafeteria for our visitors.

They could be informed on the process prior to coming to visit the most public of all buildings in the United States, and certainly the most symbolic.

INFORMING CAPITOL VISITORS

Mr. FAZIO. I am required to note, and I have visited many Civil War and Revolutionary War battlegrounds, and I must say that we often compare very poorly to some relatively obscure historic sites and national parks in terms of the way in which they go about educating their visitors as to the importance of their existence and purpose.

We just don't take that responsibility at all here. I believe we should. So I would certainly hope you and like-minded staff will be thinking about that. I don't know whether there is adequate space for a visitor's center, but the periphery of the Capitol plaza might be such a place. It may not be adequate for much more than a viewing room, but it might also accommodate restrooms and other needed facilities, which would unburden the Capitol building as well.

Mr. ANDERSON. I had a somewhat bolder site in mind, the space at the foot of the Hill counterpart to the location of the National Botanic Garden. A vacant triangle. Such a structure properly designed would complement the Botanic Garden and the other buildings and would rather balance the Mall.

Mr. Fazio. Well, you know, I tried for architectural symmetry here once on the West Front, and you know how far I got. We wanted to preserve our lack of symmetry, I guess. I encourage you to attain it on the grounds.

Mr. Anderson. I want you to note for the record that your Clerk supported your request for symmetry.

Mr. Fazio. I know you never made a mistake in your way to the top. Anyway, thank you very much for your presentation to us. Thank you all.

TUESDAY, JANUARY 30, 1990.

CAPITOL POLICE BOARD

WITNESSES

HON. JACK RUSS, HOUSE SERGEANT AT ARMS, CHAIRMAN

HON. HENRY K. GIUGNI, SENATE SERGEANT AT ARMS AND DOORKEEPER, MEMBER

HON. GEORGE M. WHITE, FAIA, ARCHITECT OF THE CAPITOL, MEMBER

FRANK A. KERRIGAN, CHIEF OF POLICE, U.S. CAPITOL POLICE

INTRODUCTION OF WITNESSES

Mr. FAZIO. We will now reconvene the Legislative Branch Appropriations Subcommittee hearings taking up the budget of the Capitol Police Board. Yesterday, we heard from the Honorable Jack Russ in his capacity as Sergeant at Arms of the House.

Today, as Chairman of the Police Board, he is joined by the Honorable Henry Giugni, the Sergeant at Arms of the Senate, and by George White, the Architect of the Capitol. The three of them, this triumvirate of leaders on the Hill, are the Capitol Police Board. We are very pleased that Chief Kerrigan has joined them so we can now have a unified budget presentation on law enforcement on Capitol Hill.

CONSOLIDATED BUDGET FOR CAPITOL POLICE

Last year, for the first time, we had a hearing on the entire police budget, including the House and Senate details. That, I think, was a very constructive step. Everyone cooperated magnificently.

Again, we have a unified presentation. We consolidated the personnel budgets of the police force two years ago. Previously, they had been funded through separate House and Senate accounts.

We now have a joint item account, although we have preserved the authority of each House through the Committees on House Administration and Senate Rules and Administration.

In fiscal year 1989, we directed the Board to develop a legislative proposal for consolidating the separate operations and asked that the proposal be forwarded to the appropriate committees.

I believe that has been done. But the committees, as I understand it, have not yet acted. We regret that, but that happens to be the situation at the moment.

Security is more important now than ever in the Capitol complex. That is why we believe it is essential that we look at this budget in a comprehensive way. I want to thank each of you for the cooperation you have given this committee.

FY 1991 BUDGET REQUIREMENTS

Before we proceed let me state the budget request. Overall, the request is a grand total of $63,884,000, of which $61.8 million is for personnel and $2.1 million is for general expenses. These funds would support 1,348 personnel, 657 on the House rolls, and 691 on the Senate rolls.

The budget request is an increase of $7,352,000 and two positions over fiscal year 1990. I will go to Jack Russ first, as Chairman of the Board, for any statement that he might want to make. Then we will hear from Mr. Giugni, Mr. White, and Chief Kerrigan.

Let's proceed.

REMARKS BY MR. RUSS

Mr. RUSS. Mr. Chairman, it is a privilege once again to appear before you to discuss the budget request for the United States Capitol Police. I look forward to answering your questions, as well as providing any additional information the subcommittee might require in support of this request.

As provided by Public Law 100-458, October 1988, the Capitol Police budget request is now a joint item. For fiscal year 1991, projected personnel expenses are $61,812,000: $30,737,000 for the House payroll and $31,075,000 for the Senate payroll.

Increases in the personnel budget are outlined in the schedule provided to the subcommittee. The largest increases are attributed to cost of living adjustments, meritorious-longevity increases and related costs.

Mr. Chairman, I take the opportunity now to remind the subcommittee that in May of last year, the Board submitted a comprehensive proposal to improve the retirement system for the Capitol Police, condense the current police pay schedule and adjust Capitol Police pay to bring it up to the level of surrounding jurisdictions.

This budget estimate for fiscal year 1991 does include a request to fund a revised pay schedule, from 26 years service to achieve the maximum in-grade salary to 14 years to achieve the maximum salary, pending approval from authorizing committees; but it does not include funding for the proposed overall pay adjustment. It is the Board's intention to seek funding for the pay adjustment part of the proposal when and if authorization is granted.

The funding request for general expenses is $2,072,000 for fiscal year 1991. Slight increases in the Capitol Police general expenses budget request are attributed to training, travel and transportation costs associated with protective details and staff development, increased maintenance costs, and replacement costs associated with supplies and equipment. Specific increases not attributable to inflation are explained in each category that we may be asked about today.

With that, the Board stands ready to answer your questions.

[The statement of Mr. Russ follows:]

STATEMENT BY JACK RUSS
CHAIRMAN, U.S. CAPITOL POLICE BOARD
TO THE SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS

Mr. Chairman, it is a privilege to once again appear before you to discuss the budget request for the United States Capitol Police. I look forward to answering any questions the Subcommittee might have as well as providing any additional information the Subcommittee might require in support of this request.

As provided by P.L. 100-458 (October 1988) the Capitol Police Budget request is now a joint item. For FY '91, projected personnel expenses are $61,812,000 [$30,737,000 House Payroll], [$31,075,000 Senate Payroll].

Increases in the personnel budget are outlined in the schedules provided to the Subcommittee. The largest increases are attributed to Cost of Living Adjustments (COLA), meritorious/longevity increases and related costs.

Mr. Chairman, I take the opportunity now to remind the Subcommittee that in May of last year the Board submitted a comprehensive proposal to improve the retirement system for the Capitol Police, condense the current police pay schedule and adjust Capitol Police pay to bring it up to the level of surrounding jurisdictions. This budge estimate for FY '91 does include a request to fund a revised pay schedule (from 26 years service to achieve the maximum in-grade salary to 14 years to achieve the maximum salary) pending approval from authorizing committees, but it does not include funding for the proposed overall pay adjustment. It is the Board's intention to seek funding for the pay adjustment part of the proposal when and if authorization is granted.

The funding request for General Expenses is $2,072,000 for FY '91. Slight increases in the Capitol Police General Expenses budget request are attributed to training, travel and transportation costs associated with protective details and staff development, increased maintenance costs, and replacement costs associated with supplies and equipment. Specific increases not attributable to inflation are explained in each category below.

$216,000 TRANSPORTATION OF PERSONS

This object class includes airfare, car rental, mileage, tolls, per diem and other costs associated with official travel, including protective details, recruit and specialized training, conferences and seminars, and any other travel for official business, such as investigations, ceremonial functions, competitions, etc. Increases in this object class of $41,468 can be attributed to the increased travel costs associated with protective details, specialized training for Internal Affairs and Inspections Division, the Security Coordination Section, Drug Enforcement Unit, and for the Hazardous Devices Section, as well as the increased cost of transporting employees to and from the Federal Law Enforcement Training Center (FLETC) in Glynco, Georgia.

$11,000 TRANSPORTATION OF THINGS

Includes freight costs incurred when equipment is shipped to a repair facility, shipping evidence to another site for analysis or investigation, and shipping items to FLETC. Also included are funds to move officers currently assigned at FLETC back to the Washington area if a change of assignment is necessary. The increase of $2,050 can be attributed to the increased cost associated with change of station arrangements. It is anticipated as many as four officers will leave Georgia to return to Washington, D.C.

$115,000 RENT, COMMUNICATIONS, AND UTILITIES

Included in this object class are funds for the lease and rental of equipment and services such as law enforcement computer files, automated research services, photocopying machines and mobile telephones. Also included are funds for U.S. postage, and commercial long distance telephone service. The increase $11,959 can be attributed to the increased cost associated with an additional Lexis/Nexis Data System requested by the Protective Services Bureau, increased costs associated with the IBM lease and maintenance contract for the equipment and access to the computerized communications network (e.g. WALES/NCIC) and rental vehicles.

$336,000 OTHER SERVICES

Includes all services not specifically covered by other object classes, such as repairs and alterations to equipment, maintenance contracts, tuition and registration fees for training programs, seminars, conferences, etc., uniform maintenance and alterations (including laundry and dry cleaning) and professional services such as veterinary care, psychological evaluation, employee assistance program, drug screening, promotional assessment, etc. An increase of $33,023 in this object class can be attributed to the increased cost associated with the veterinarian contract, contracts for repairs and maintenance to specialized equipment and the promotional process.

$911,000 SUPPLIES AND MATERIALS

This object class includes charges for commodities, whether acquired by formal contract or other form of purchase, that are ordinarily consumed or expended within one year after they are put into use. Included are books and subscriptions for training and legal reference, weapons parts and accessories, communications supplies, automotive maintenance supplies, fuel, oil, and repair parts, photographic supplies, training supplies, electronic supplies, printing supplies, office supplies, K-9 supplies, publications, uniforms and accessories, ammunition and explosives. The $45,354 increase in this object class is attributed to the cost associated with photo

$483,000 CAPITAL ASSETS -- EQUIPMENT

Includes property of a durable nature. This is property that has a life expectancy of a year or more without material impairment of its physical condition. Included in this major account are weapons, motor vehicles, radio transceivers, photographic equipment, automotive maintenance equipment, electronic equipment, printing equipment, office equipment, etc. The increase of $62,646 in this object class is attributed to costs associated with vehicle replacement, video recording equipment, and weapons.and lab supplies, training and video supplies.

REMARKS BY MR. GIUGNI

Mr. FAZIO. Mr. Giugni, if you have comments, we will be happy to place them in the record.

Mr. GIUGNI. Mr. Chairman, I would like to thank you for the opportunity of having me here, but today I look forward to listening to our chairman, who will provide all of the answers. We have the Chief here to answer any questions that you may have.

I also have to leave early. I would like to thank you for this opportunity. I have a doctor's appointment. I wish I could be excused, and thank you, Mr. Chairman.

Mr. FAZIO. That's fine.

If you have any points, Henry, that you want to make before you have to leave, we would be more than happy to entertain them.

Mr. GIUGNI. I would like to leave it in the hands of our chairman.

Mr. FAZIO. I love this love feast. It is a refreshing experience.

Mr. RUSS. We're following your guidance.

Mr. FAZIO. Mr. White, do you have anything that you would like to add?

Mr. WHITE. I have nothing to add, Mr. Chairman. The Board has met and discussed the statement our chairman has given. I would like to say, because I know the Board agrees, the police themselves under the direction of the Chief, have done a first-rate job this year of preparing these justifications which has been developing over the years into a better and better document. We have all been impressed with that.

I wanted to commend them for the kind of work that has been done, which has been excellent this year.

Mr. FAZIO. Of course, that is one of our major goals, to receive the police budget in a form that provides an opportunity to review the budget in a comprehensive way. With the security problems and law enforcement requirements that exist on Capitol Hill in general, obviously more money will be requested. These requests need to be submitted clearly and and concisely. The police budget staff has made a great deal of progress toward this goal. I want to congratulate you all in that regard.

REMARKS BY CHIEF KERRIGAN

Mr. FAZIO. Chief.

Chief KERRIGAN. I have submitted the statement for the record.

Mr. FAZIO. It will be made part of the record.

[The statement of Chief Kerrigan follows:]

TESTIMONY OF
FRANK A. KERRIGAN
CHIEF, U.S. CAPITOL POLICE
BEFORE THE SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS
U.S. HOUSE OF REPRESENTATIVES
FOR FY 1991 BUDGET REQUEST FOR U.S. CAPITOL POLICE

JANUARY 30, 1990

During 1989 activities on Capitol grounds increased dramatically, as evidenced by the following statistics:

- State visits increased 68% (28 to 47);
- Special Events increased 66% (192 to 318);
- Official Visits increased by 24% (1493 to 1847);
- Demonstrations increased by 9% (226 to 247);
- Bomb Searches conducted by the Hazardous Devices Section increased by 250% (130 to 455); however, the total workload of the Section increased from 521 jobs to 1223;
- Electronic Countermeasure assignments increased by 81% (848 to 1536)

Additionally, a total of 11,040 vehicles were inspected prior to entering the Capitol Plaza as a result of the implementation of the Off-Site Delivery screening process.

In the area of law enforcement activities during Fiscal Year 1989, a marked increase is evidenced by the following statistics:

- Contraband items seized increased by 21% (1835 to 2219) {This increase is due entirely to the number of mace/tear gas and stun guns seized.} Interestingly enough, however, the number of guns and knives confiscated were down from the previous year by 32% and 47% respectively.
- Crimes Against Persons is up by 22%, due to the increase in robberies.
- Property Crimes were up by 5%.

Arrest statistics increased by 47%, due to the numerous misdemeanor arrests associated with demonstrations on Capitol grounds. The Capitol Police also recovered 69 stolen automobiles.

Threat and nuisance type contacts directed toward protectees of the Capitol Police increased by 11% (415 .. 459). The number of protective details increased by 70%.

The U.S. Senate also implemented during the last half of the year the process for screening all employees entering into the Senate Wing of the Capitol and all Senate buildings.

The implementation of these programs and the continuance of the quality of service provided to the Congressional Community continued while the Capitol Police experienced a 13.3% loss of its newly hired officers in 1989. This represents a continuing problem with keeping our young, well-trained officers in that we lost 18.99% of those hired in 1988 and 26.2% of those hired in 1987.

I have also attached, for the record, the overview outlining the increases with their justifications for the Capitol Police FY91 Budget Request.

UNITED STATES CAPITOL POLICE
FISCAL YEAR 1991 BUDGET REQUEST

COMBINED BUDGET

Fiscal 1990	Fiscal 1991	Increase	%
$56,532,000	$63,884,000	$7,352,000	13

The combined (House & Senate) Capitol Police budget request for fiscal year 1991 is $63,884,000. This represents an increase of $7,352,000 (13%) over fiscal year 1990.

The increase can be attributed to three areas: *Personnel Compensation* $5,756,000 (78%); *Personnel Benefits* $1,400,000 (19%); and *General Expenses* $ 196,000 (3%)

PERSONNEL COMPENSATION

Fiscal 1990	Fiscal 1991	Increase	%
$44,910,000	$50,666,000	$5,756,000	13

The increase in personnel compensation ($5,756,000) is broken down as follows:

1. Pay Scale Adjustment	$1,713,000	(30%)
2. Annualization of the FY 90 COLA	$1,675,000	(29%)
3. FY 90 Public Law Reductions	$1,017,000	(18%)
4. FY 91 COLA	$650,000	(11%)
5. Longevity	$450,000	(8%)
6. Overtime	$166,000	(3%)
7. Restore 2 Senate Police Positions that were cut in FY90 and funding for Physical Fitness Position	$85,000	(1%)

PERSONNEL BENEFITS

Fiscal 1990	Fiscal 1991	Increase	%
$9,746,000	$11,146,000	$1,400,000	14

The increase in personnel benefits of $1,400,000 is attributed to the increase in personnel cost, and the increased number of personnel that will fall under FERS.

GENERAL EXPENSES

Fiscal 1990	Fiscal 1991	Increase	%
$1,876,000	$2,072,000	$196,000	10

The General Expense Budget Submission for FY91 is $2,072,000. This represents an increase of $196,000 (figures rounded). This increase can be attributed generally to; training, travel and transportation costs associated with Protective Details and Staff Development, increased maintenance costs, and replacement costs associated with supplies and equipment. Also includes restoration of FY90 Public Law reductions ($8,101).

TRANSPORTATION OF PERSONS

Fiscal 1990	Fiscal 1991	Increase	%
$174,400	$215,868	$41,468	24

This object class includes airfare, car rental, mileage, tolls, per diem, and other expenses incidental to official travel by employees of the Department. These travel expenses are related to protective details, transporting employees to the Federal Law Enforcement Training Center (FLETC) for recruit and other specialized training, developmental training that is not held at FLETC or in the D.C. area and other travel related to official business (e.g. investigations, ceremonial functions, competitions, etc.)

The increase in this object class of $41,468 can be attributed to the increased travel costs associated with protective details and specialized training for Security Coordination Section (SCS), Drug Enforcement Section (DES), and for the Hazardous Devices Section (HDS), as well as the increased cost of transporting employees to and from FLETC.

TRANSPORTATION OF THINGS

Fiscal 1990	Fiscal 1991	Increase	%
$9,600	$11,650	$2,050	21

This object class includes freight costs incurred when parts, uniforms, or materials must be sent to another location (e.g., our liaison office at the Federal Law Enforcement Training Center), when equipment is shipped to a repair facility, when items of evidence must be sent to another site for analysis or investigation, when an officer permanently assigned at the Federal Law Enforcement Training Center must be reassigned to Washington, etc. Funds contained in this object class cover any transportation costs *except* regular mail service (contained in Rent, Communications, and Utilities) and travel and per diem costs (contained in the object class Transportation of Persons).

The increase in this object class of $2,050 can be attributed to the increased cost associated with permanent change of station. In FY91 it is possible that as many as four officers will leave Georgia to return to Washington, D.C.

RENT, COMMUNICATIONS AND UTILITIES

Fiscal 1990	Fiscal 1991	Increase	%
$102,671	$114,630	$11,959	12

This object class provides funds for the lease and rental of equipment and services such as law enforcement computer files, automated research services, and photocopying machines. It also includes funds for U.S. postage, and commercial long distance telephone service.

The increase in this object class of $11,959 can be attributed to the increased cost associated with an additional Lexis/Nexis Data System requested by the Protective Services Bureau, the increased cost associated with the IBM lease and maintenance contract for the equipment and access to the computerized communications network (e.g. WALES/NCIC) and rental vehicles.

OTHER SERVICES

Fiscal 1990	Fiscal 1991	Increase	%
$303,040	$336,063	$33,023	11

This major account includes all services not specifically covered by any of the other object classes. It encompasses such things as repairs and alterations to equipment, maintenance contracts, tuition and registration fees for training programs, conferences, seminars, etc., uniform maintenance and alterations (including laundry and dry cleaning), and professional services such as veterinary care, psychological evaluation, employee assistance program, drug screening, promotional assessment, etc.

The increase in this object class of $33,023 can be attributed to the increased cost associated with the veterinarian contract, contracts for repairs and maintenance to specialized equipment and the promotional process.

SUPPLIES AND MATERIALS

Fiscal 1990	Fiscal 1991	Increase	%
$866,053	$911,407	$45,354	5

This object class includes charges for commodities, whether acquired by formal contract or other form of purchase, that are ordinarily consumed or expended within one year after they are put into use. It contains items such as weapon parts and accessories, communications supplies, automotive maintenance supplies, fuel, oil, repair parts, photographic supplies, training supplies, electronic supplies, printing supplies, office supplies, K-9 supplies, publications, uniforms and accessories, ammunition and explosives, and miscellaneous supplies.

The increase in this object class of $45,354 can be attributed to the cost associated with photo & lab supplies and training & video supplies, and the restoration of FY90 Public Law reductions ($8,101).

CAPITAL ASSETS

Fiscal 1990	Fiscal 1991	Increase	%
$420,135	$482,781	$62,646	15

This object class provides for the purchase of property that has a normal life expectancy of a year or more after being put into use, without material impairment of its physical condition. Included in this major account are weapons, motor vehicles, radio transceivers, photographic equipment, automotive maintenance equipment, electronic equipment, printing equipment, office equipment, etc.

The increase in this object class of $62,646 can be attributed to the cost associated with vehicle replacement, video recording equipment, and weapons.

POLICE RELATED STATISTICS

Mr. **Fazio**. You may proceed.

Chief **Kerrigan**. What I wanted to point out is how activities have increased on our grounds. Last year, state visits increased 68 percent from 28 to 47. Special events increased 66 percent, 192 to 318. Official visits increased by 24 percent, 1493 to 1847.

Demonstrations increased by 9 percent, 226 to 247. Bomb searches conducted by the Hazardous Devices Section increased by 250 percent, 130 to 455. However, the total workload of the section increased from 521 jobs to 1,223. Electronic countermeasures assignments increased by 81 percent, 848 to 1536. Additionally, a total of 11,040 vehicles were inspected prior to entering the Capitol Plaza as a result of the implementation of the off-site delivery screening process.

In the area of law enforcement activities during fiscal year 1989, a marked increase was evidenced by the following statistics: Contraband items seized increased by 21 percent, 1835 to 2219. This increase is due entirely to the number of mace, teargas and stun guns seized. Interestingly enough, however, the number of guns and knives confiscated were down from the previous year by 32 percent and 47 percent respectively. Crime against persons is up by 22 percent due to an increase in robberies. Property crimes were up by 5 percent.

Arrest statistics increased by 47 percent due to the numerous misdemeanor arrests associated with demonstrations on Capitol grounds. The Capitol Police also recovered 69 stolen automobiles.

Threat and nuisance type contacts directed toward protectees of the Capitol Police increased by 11 percent, 415 to 459. The number of protective details increased by 70 percent. The implementation of these programs and the continuance of the quality of service provided to the Congressional community continued while the Capitol Police experienced a 13.3 percent loss of its newly hired officers in 1989. This represents a continuing problem with keeping our young, well-trained officers, in that we have lost 19 percent of those hired in 1988 and 26.2 percent of those hired in 1987.

I have also with my statement for the record, the overview outlining the increases with their justifications for the Capitol Police fiscal year 1991 budget request.

Mr. **Fazio**. Chief, the situation you have then is the hiring of young, able people who receive training, work for a period of time, and then are hired by the suburban police departments?

Chief **Kerrigan**. Yes, sir.

DISCUSSION ON PERSONNEL BENEFITS AND TURNOVER

Mr. **Fazio**. Twenty six percent of those hired in 1987 have left. Essentially, we are paying to train and equip the officers, send them to FLETC, and then they are hired by other departments based on their good credentials?

Chief **Kerrigan**. Yes, sir. You are well aware that the suburban jurisdictions, and also the Metropolitan Police are currently hiring a great number of people. Unfortunately, our officers are here for one, two or three years. They are some of the best-trained officers in the country. It is a pool that they pick from frequently.

Mr. FAZIO. I know that Jack Russ has spoken to this in the past. What are the reasons that the officers leave? Is it simply salary?

Chief KERRIGAN. Salary and benefits. Retirement. A lot of the departments offer either a 20-year or 25-year retirement. Also, right now——

Mr. FAZIO. What do we offer?

Chief KERRIGAN. Right now it is 55 years of age.

Mr. FAZIO. So, if an officer begins working at 20 years old——

Chief KERRIGAN. You are looking at 35 years of service.

Mr. RUSS. That is one of our problems, Mr. Chairman. If you are on the House payroll, there is one system. On the Senate, there is another.

Mr. FAZIO. How do they differ?

Mr. RUSS. In the House, with 25 years of service, you can leave at any time with somewhat of a check.

Mr. FAZIO. It is possible for an officer to retire early, but they receive a reduced annuity?

Mr. RUSS. In the Senate, you have to stay for 30 years.

Mr. FAZIO. The losses would be heavier on the Senate side?

Chief KERRIGAN. On the Senate side payroll.

Mr. RUSS. That is why we want to put the payroll under the Architect to make it one payroll, keeping the authorization for appointments under the House and Senate; but the payroll would be administered by the Architect.

Mr. FAZIO. With similar retirement benefit systems?

Mr. RUSS. A revised benefit. Currently for a police officer on the Senate side payroll, who has to come to work on the House payroll to get a promotion, it is a hardship on his family.

Mr. FAZIO. How does that happen? If an officer starts on the Senate side, but is promoted and transferred to the House side. How would that affect the officer's retirement?

Mr. RUSS. There are certain slots, designated House Sergeants, and Senate Sergeants, but we don't distinguish between the two for promotion purposes. Senate police officers and House police officers are totally integrated. There is no distinction whatsoever.

However, for payroll purposes, because the House pays half the officers and the Senate pays half the officers, if you happen to be a Senate private and because of our new promotion system, we take the top person, you may find yourself in line for a House Sergeant's slot. Because you are on the Senate payroll, you have to switch over to the House payroll.

In the Senate, they pay twice a month. In the House, we pay once a month. That is a hardship for a young family. Plus you are changing your retirement system.

Mr. FAZIO. You mean when an officer switches payrolls, the retirement system changes?

Mr. RUSS. Absolutely.

Mr. FAZIO. I would like to pursue this line of questioning. This is incredible.

Mr. RUSS. These young kids are used to getting paid once a month or getting paid twice a month. Then to reverse that, that is a real hardship. We really want to try to combine it and put it under the Architect.

Plus, we realize that pay is a problem. For us to stay competitive, we are going to have to give the Capitol Police a pay raise. There is no way we will get around it.

Mr. FAZIO. What is the status of the recommended legislation? Are the authorizing committees studying the issues? Are they holding hearings on these matters?

STUDY ON REDUCTION OF POSITIONS

Mr. RUSS. We have a task force right now studying whether we can and if so, how we can, reduce the police department down to 1,000 men and women in an attempt to save money to then give those 1,000 a pay raise that would allow us to keep them here. I think we are going to lose that many officers soon anyway. The Uniformed Secret Service and Park Police all hired men in 1968 who now have their 20 years in. They will start leaving and those departments will seek replacements.

NEED FOR PAY AND BENEFITS REFORM

Mr. FAZIO. Retirement is going to occur in a bow wave?

Mr. RUSS. We need a retirement system that is compatible with the surrounding jurisdictions and a pay raise that is compatible with the surrounding jurisdictions.

Mr. FAZIO. You are proposing a consolidation of the retirement programs as well; is that right?

Mr. RUSS. Absolutely.

Mr. FAZIO. Would officers in the existing system be eligible for the new benefits?

Mr. RUSS. Anybody in the system would come under this new system.

Mr. FAZIO. Describe the proposed system that is being considered by Senate Rules and House Administration.

Mr. RUSS. The pay scale would be adjusted from 26 years to 14 years. We would take——

Mr. FAZIO. To reach the top grade, it would take 14 years. One would move up more rapidly?

Mr. RUSS. Yes, move up more rapidly. We would base our pay on an area-wide survey, which we have done; and we would also do a retirement system based on a national survey which is compatible with other law enforcement agencies across the country, but really more compatible with the surrounding jurisdictions.

Mr. FAZIO. I think that is the only practical thing to do.

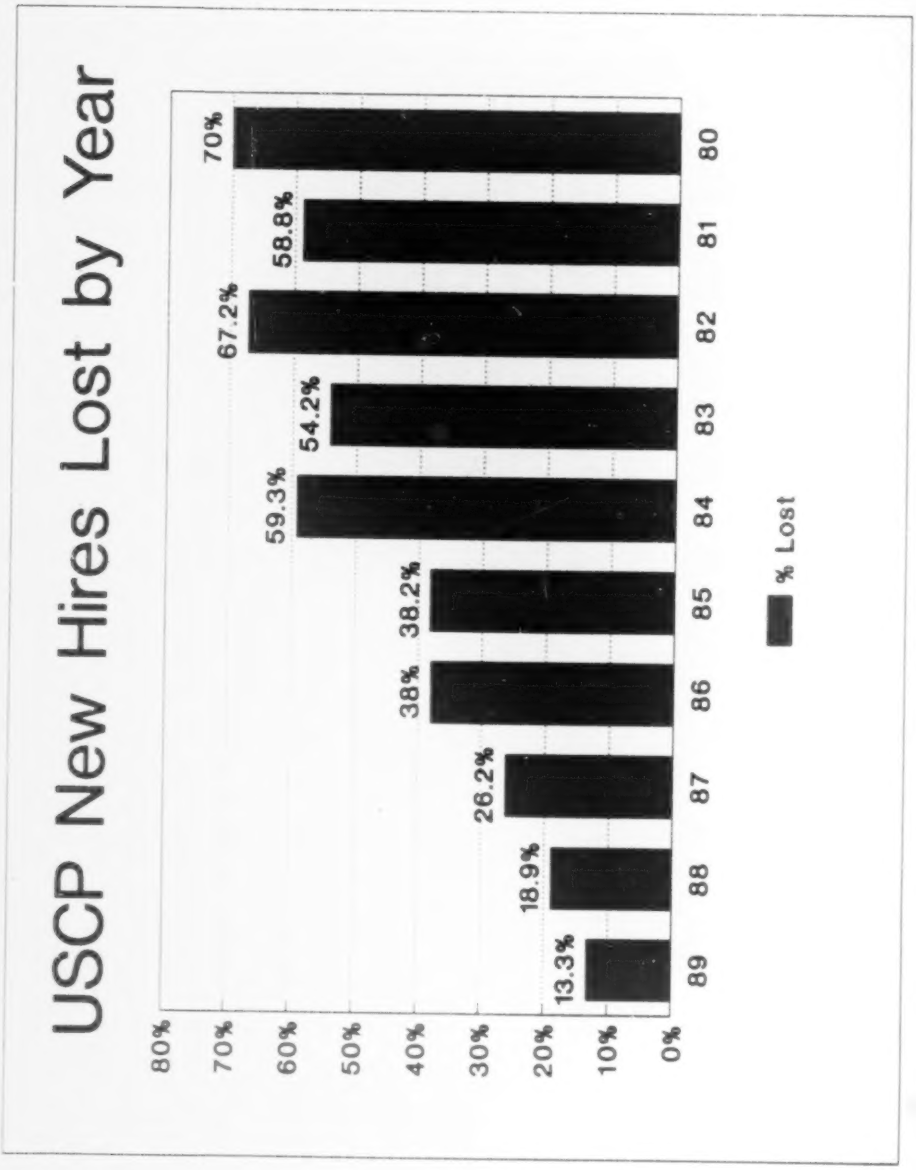
Mr. RUSS. That is the only way we can compete in this area. The House Administration committee asked the CBO to study a schedule we submitted. We are waiting for that right now.

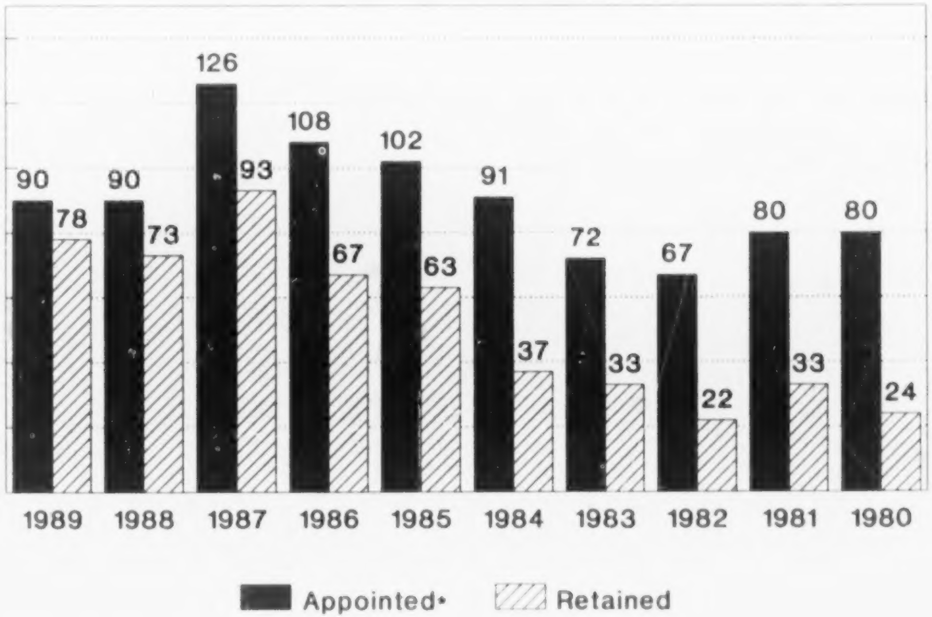
When House Administration receives the CBO study, we will go—they want to see what CBO has to say about it. We concur with that. I think they will back up our figures.

Mr. FAZIO. Also, the GAO study on the administration organization and mission of the police will be available soon to help guide the authorizing committees.

Mr. Russ. The Capitol Police have done a complete background on turnover, the retirement system and pay for the surrounding areas. It is all documented. I would like to submit that to the committee.

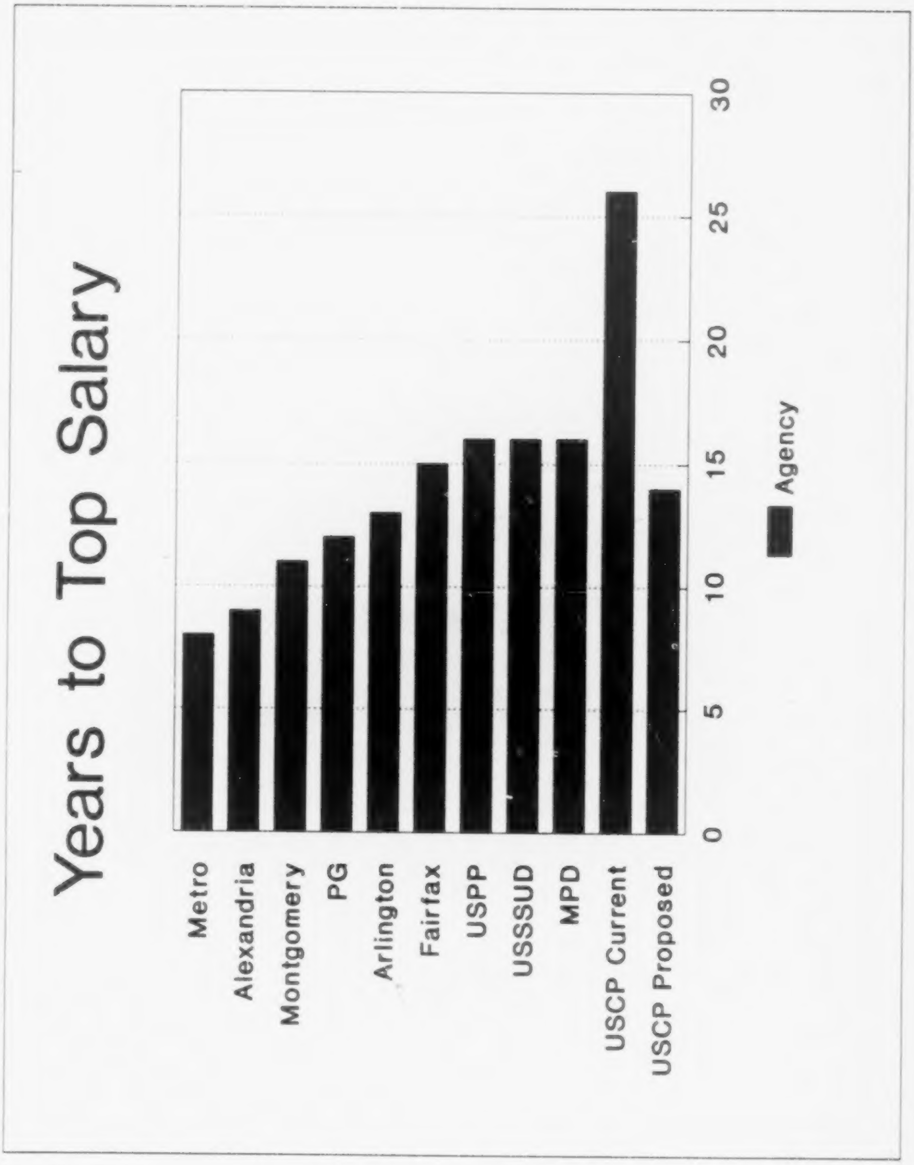
[The information follows:]


USCP New Hires Lost by Year
80%
70%
60%
50%
40%
30%
20%
10%
0%
70%
58.8%
67.2%
54.2%
59.3%
38.2%
38%
26.2%
18.9%
13.3%
80
81
82
83
84
85
86
87
88
89
% Lost



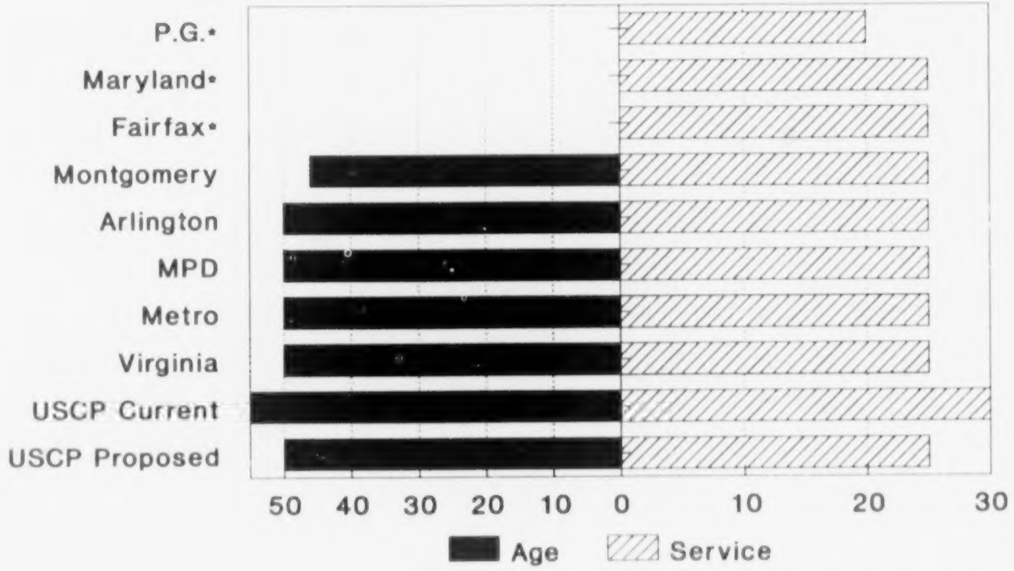
USCP New Hires Lost By Year

*Total number of Officers appointed in year

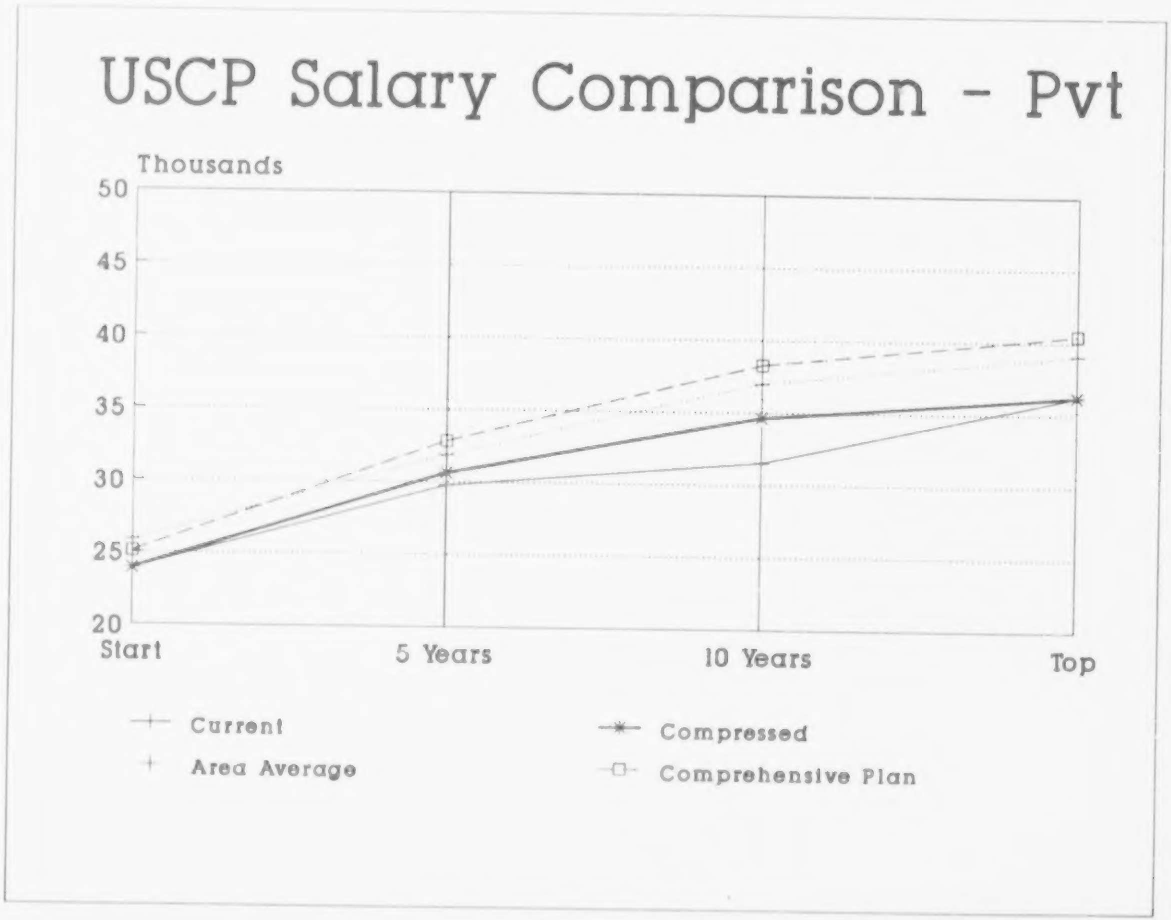

Years to Top Salary
Metro
Alexandria
Montgomery
PG
Arlington
Fairfax
USPP
USSSUD
MPD
USCP Current
USCP Proposed
0
5
10
15
20
25
30
Agency

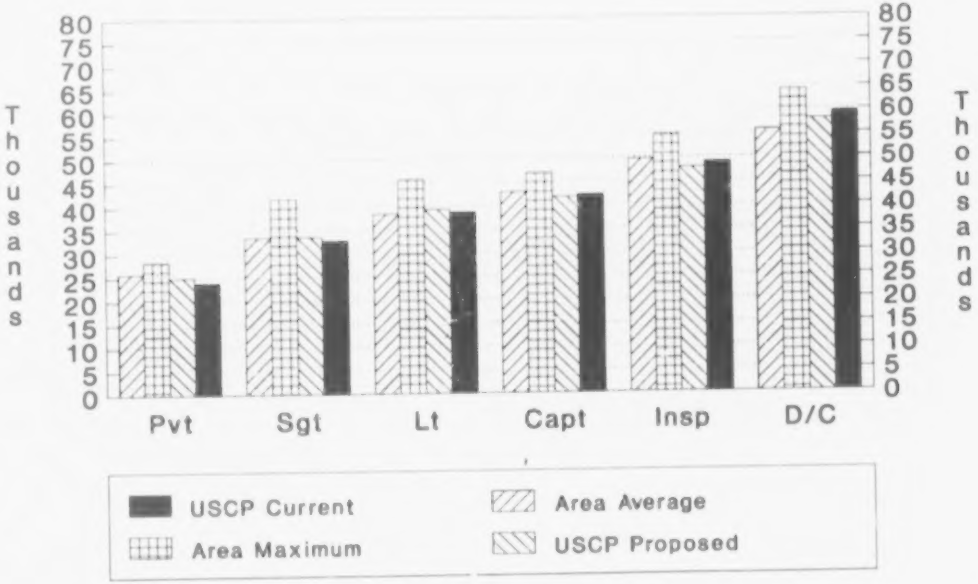
Law Enforcement

Retirement Minimums

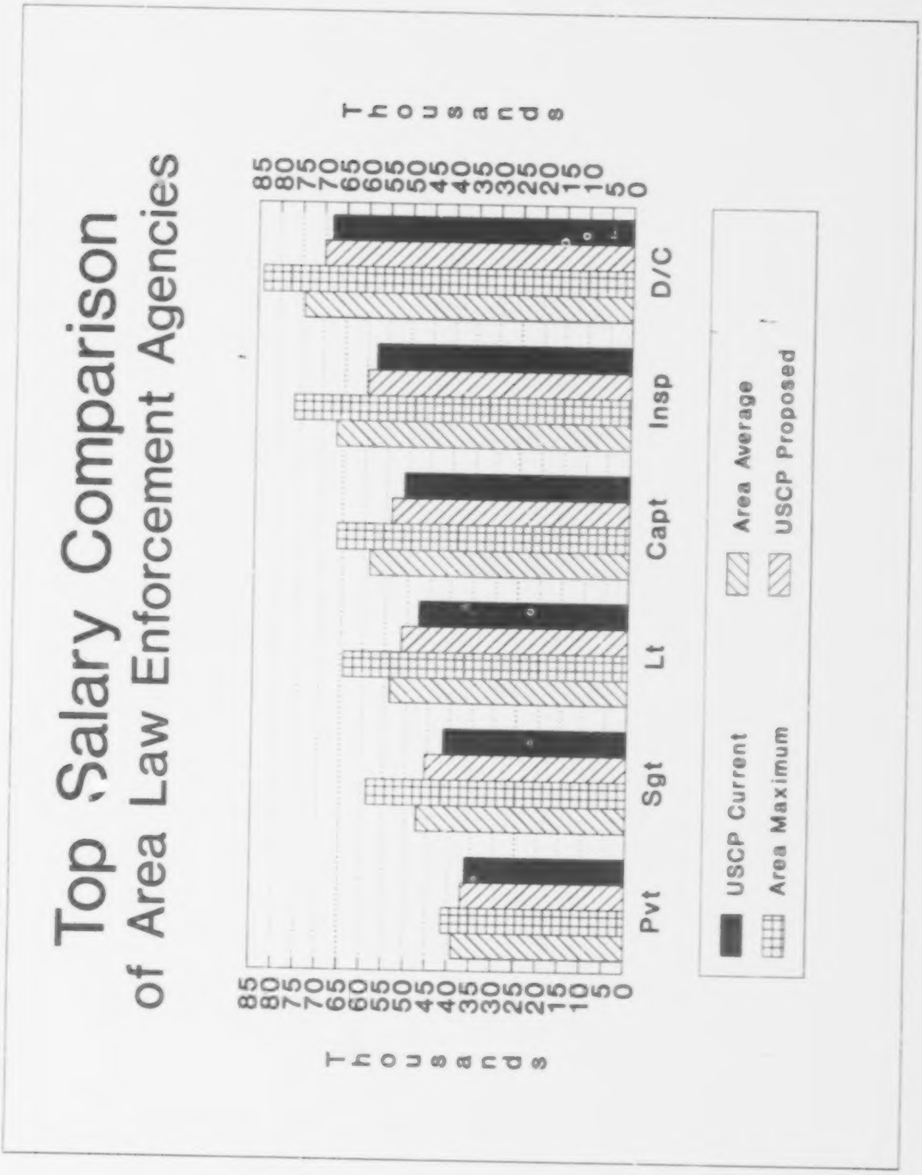


• No minimum age requirement

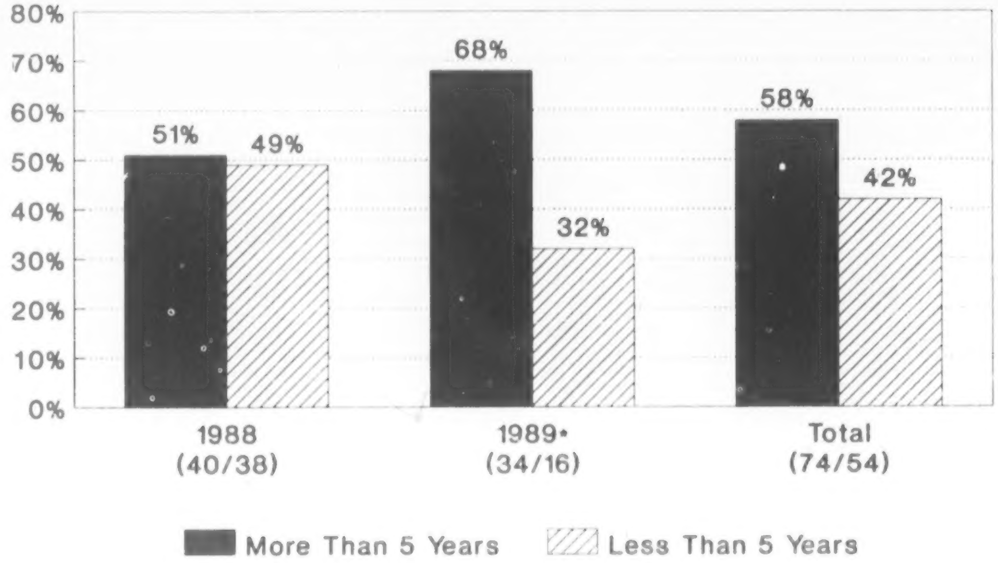

USCP Salary Comparison - Pvt
Thousands
50
45
40
35
30
25
20
Start
5 Years
10 Years
Top
Current
Area Average
Compressed
Comprehensive Plan



Starting Salary Comparison
of Area Law Enforcement Agencies

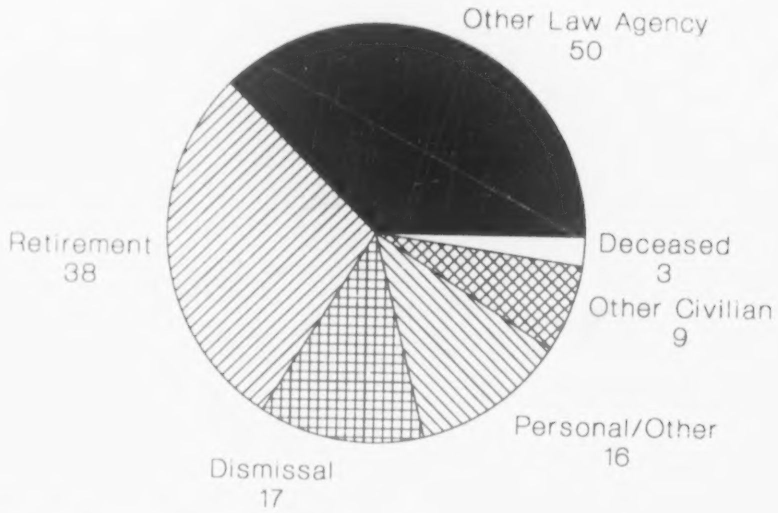

Top Salary Comparison
of Area Law Enforcement Agencies
Thousands
85
80
75
70
65
60
55
50
45
40
35
30
25
20
15
10
5
0
Pvt
Sgt
Lt
Capt
Insp
D/C
USCP Current
Area Maximum
Area Average
USCP Proposed

USCP Terminations
and Length of Service



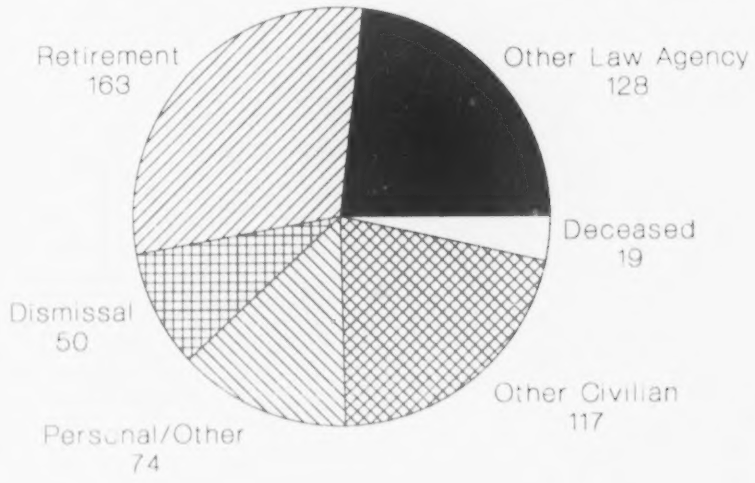
• As of 9/6/89 - % Breakdown of time in service of officers who left each year

1988-1989 Terminations



Actual numbers of officers who departed 1/1/88 through 8/1/89

1984-1989 Terminations



POLICE OPERATIONS ARE CONSOLIDATED

Mr. **Fazio**. What additional differences exist between the Senate and House police? Do varying operational and arrest authorities exist? Are you totally unified in the operations of the police department?

Mr. **Russ**. The Chief can answer that. My understanding is we are totally integrated.

Chief **Kerrigan**. Yes, as far as the operation of the department, it is one.

Mr. **Russ**. We used to have a H or S in front of the officer's name. We eliminated that. We don't even want to know what payroll they are on.

STATUS OF PAY AND BENEFITS PACKAGE

Mr. **Fazio**. Good.

Where is the proposal at this point? Give us a politically insightful status report. I know Mr. White can do it.

By the way, was the proposal that went forward unanimously agreed to by the Board?

Mr. **White**. Yes.

Mr. **Russ**. We submitted to the House Administration Committee a package that included several items, on May 19, 1989. We are waiting to hear from House Administration on several key items that we seek.

The primary items we need addressed this year are pay and retirement. The other security items, some submitted as early as February 1988, well, we will take them when we can get them. The pay and retirement we want first. I think Ms. Oakar is going to have hearings as soon as CBO reports back.

Mr. **Fazio**. When do you expect that report completed?

Mr. **Russ**. Shortly. Also, at the Appropriations Committee direction, the GAO is studying combining the USCP payroll. The GAO report is due in March.

Mr. **Fazio**. Of course, we hoped to have that in place for this year. That is too much to ask, I guess. There is too much internal concern, I guess, about losing control over the police force. Is that what it is all about?

Mr. **Russ**. I think that is it. We don't really understand the concern. We think we have safeguards for House Administration and the Rules Committee to maintain the appointment process; but it is almost imperative we have some kind of system that allows the police to get paid from one source.

We have all agreed that George's operation, although he does not seek it, is the most logical place to put it, because he has the mechanics to do it. It really isn't politically advantageous——

Mr. **Fazio**. How does this appointment process work? If there are concerns about losing control, obviously there are advantages in retaining two separate systems. Is there an appointment process that relates to patronage?

Most of us think that the days of appointing a constituent or law student to the police force are over.

Mr. **Russ**. They are over.

Mr. **Fazio**. It is a professional police department, meeting national security requirements.

Mr. **Russ**. There is absolutely——

Mr. **Fazio**. I hope we let that era go by.

Mr. **Russ**. There is no advantageous reason to appoint anybody. There is no system that today allows you to appoint somebody. Everybody must go through a background check. Everybody has got to pass the test. Everybody has to go to training. There is no patronage system.

There is no advantageous reason not to combine the police department under one payroll. It is just a hardship on the police.

Mr. **Fazio**. And very likely a higher cost to administer the program.

Mr. **Russ**. A higher cost overall.

HIGHLY QUALIFIED OFFICERS

Mr. **Fazio**. I understand that the Capitol Police are achieving some of the highest marks at FLETC. Compared to other law enforcement agencies from the Federal Government, some of the people we have employed and who have gone through the training program are doing as well as, in fact, better than most.

Mr. **Russ**. It is not only in the test scores at FLETC that we are ranging one, two, and three, but our SWAT team finished first overall in the Nation. Our dogs are finishing first, second, and third in national competition. Even our uniform won first place.

Mr. **Lewis**. I am pleased we seem to be doing so well.

Mr. **Russ**. Our color guard is winning national competitions, all across the board. The Capitol Police have gone from what I considered a Mayberry-type police department some 10 years ago to one of the Nation's finest. We are recognized across the country.

Our bomb unit, which is a unit that consists of technically trained individuals now is receiving accolades from everybody. Our technical security unit is doing the same. Across the board, we have good, solid police officers who really want to stay here; but when it gets right down to it, if someone offers them $3,000, or $4,000 more, a young person with a family, is going to have to take it.

That is the bottom line. We are spending the money to train them, and then they are just going to leave. I think it is going to get worse.

Chief **Kerrigan**. If I may add to that a little bit, it used to be the Capitol Police would go to other departments and beg for help and assistance. It is reversed now. We are being contacted from departments throughout the country for our assistance. City departments, county departments, and also other State Capitols ask us to send people to assist them in setting up security at the various State Capitols.

I think it is great that they have recognized that we do know what we are doing.

TECHNICAL SECURITY ISSUES

Mr. FAZIO. Before we leave this question of differences between the Senate and the House details, let's discuss the issue of technical security. I know there is a Technical Security Division within the Capitol Police; and yet I understand there is some interest in setting up a new entity to do what appears on the surface to be similar kinds of work.

Could you tell us about this? Is it coming from one body or the other? Are there differences between the approaches of the Senate and House on technical security? What is the long-term solution to this?

Mr. RUSS. Well, this is a mystery; I have to be candid with you. We have a technical security unit in the House and Senate, manned and operated by the Capitol Police.

Mr. FAZIO. There are two, in other words?

Mr. RUSS. No, one. It is manned by the Capitol Police. They provide technical security for the House and the Senate. That unit is made up of technicians who are highly trained; all have gone to school for their different specialties.

The Senate has created an Office of Security, and that office is supposed to deal with documents in relation to security matters. In other words, if the CIA wants to brief someone, the Office of Security in the Senate will tell the office what they have to do to maintain the integrity of those documents, whether or not the safe is valid, whether it is non-valid, who has clearances, who doesn't have clearances.

That is my understanding.

Mr. FAZIO. Isn't the same service provided to House Members?

Mr. RUSS. The police now do basically the same thing in the House. It came out of the sky one day that the Senate then wanted this Office of Security to get involved with another separate entity, an Office of Technical Security that would be away from the Capitol Police, and there would be civilians hired to fill the role that the Capitol Police are filling now.

From what I understand——

Mr. FAZIO. They would serve the Senate only?

Mr. RUSS. No. The proposal was they would take care of both sides in the beginning. But we in the House——

Mr. FAZIO. So there are civilians and officers doing the same work?

Mr. RUSS. We in the House rejected the Senate proposal for several reasons. The Capitol Police have jurisdiction in all 50 States. We do go out into the country to work at Members' district offices that may have a problem. I pointed out at the time that civilians would not have that authority and they would have to use the Capitol Police anyway.

The other problem I have with it is that based on testimony, we were not going to be able to find adequate civilian technicians for the salary that they wanted to pay. So, according to the testimony, we were going to get second and third-rate-type individuals.

I just had a problem with civilians working in the technical security field. I like the fact that the Capitol Police have institutional integrity. When it gets right down to it, these are the people who are monitoring the rooms that hearings are taking place in, where if sensitive information is being talked about it is the Capitol Police who are monitoring that room to make sure no one is listening.

I just had a problem with an outside entity coming in, especially when we did not know who the people were that were coming in. That is where we stand. As far as——

POTENTIAL BREACH OF SECURITY

Mr. FAZIO. If these people develop a great deal of expertise in technical security at the Capitol, is marketable on the outside? For instance, if somebody decided to do some consulting work what kind of information would then be available to the public about the security issues of the Capitol?

Mr. RUSS. This is only my opinion. With the budget deficit being reduced and money becoming extremely scarce, I think it would be very advantageous for anyone to have access to information on how we detect bugs or how we secure a room. If you know how we do that, then you can beat the system. The systems are always changing.

Mr. FAZIO. I don't know how you would prevent that. It seems to me you are looking at a need for long-term career people.

Mr. RUSS. We have done that.

Mr. FAZIO. There is a need for a permanent assignment. Of course, I don't know what you can do to prevent the use of sensitive information in future employment, but certainly you would hope these people would never use this information in a way that might present a conflict.

Mr. RUSS. We now have a career track in technical security. Before we didn't have that. Now we go all the way up to captain. You can stay in that unit without being transferred out. That was done about a year ago. We have our own unit. It has a career track. You can stay within that unit.

But, as you know, that information about defense matters is going to be extremely valuable.

I just feel that the Capitol Police, with their training and background do a better job than someone from outside coming in who we don't know.

Mr. FAZIO. You don't know their backgrounds?

Mr. RUSS. We don't know their backgrounds, their intentions. We had a fellow who came in to be briefed by the technical security unit. Fortunately, we didn't do it. We had found out he had been 20 years with DOD. We were supposed to brief him on all our technical security matters. We didn't. We were asked by the Office of Security in the Senate to brief him. We gave him a good high school briefing. Then I found out that he has already quit and gone back to the private sector. We don't even know where he has gone. He was here for about eight weeks, maybe ten.

So it is a problem. It is a serious problem. My contention is that if the Senate wants a technical security unit, then they should hire it, but it is accountable to the Senate. The House uses the Capitol Police.

Mr. **Fazio**. I don't agree, Jack. I think there should be one unit that satisfies the requirements of both sides. If it is currently inadequate, it needs to be improved.

Mr. **Russ**. I agree. But if they are going to do it anyway, if they are insistent about creating this unit, I have a problem with it crossing the line. We have never had a complaint about the Capitol Police providing technical security.

Mr. **Fazio**. We need to look at the police budget request in the context of a joint item.

Mr. **Lewis**. Excuse me, Mr. Chairman. I assume there has been some staff discussion with the Senate regarding why they feel there is a need for this.

Mr. **Fazio**. I really don't know. But we do need to know, there may be a good reason.

Mr. **Lewis**. I think it is important enough to really do our homework between now and the time we get to the conference with our Senate colleagues.

SECURITY AT NEW JUDICIARY BUILDING

Mr. **Fazio**. I agree.

Unless there are other questions or points that anyone would like to make on this question of consolidation, or the Senate and House differences, if any exist, I would like to move on and talk briefly about the Judiciary Office Building.

Last year we directed you to negotiate with the Judiciary on an alternative for building security other than the use of the Capitol Police. Perhaps, the Justice Department's Marshal's service or their own police could provide security at this site.

Have you begun those discussions? What is the status? It has never been my view that we need to expand the jurisdiction of the Capitol Police, particularly when these agencies have their own law enforcement activities.

Could you speak to that?

Mr. **Russ**. Mr. Chairman, we are in agreement. We don't think the Capitol Police should be involved in the interior of the building. However, we will do the outside, the grounds, because it is located on the Capitol complex. We believe the judiciary system should provide for its own security within the building, like the Supreme Court, or the Library of Congress, or GAO do.

With that, I would like to turn it over to Mr. White with regard to the building itself.

Mr. **White**. Mr. Chairman, there have not been any additional discussions. We have been neglectful in that regard. We have been working very hard at designing the building. It seems like a long way off before the security need arises, except for the present need, which is patrolling Capitol grounds, and which the Capitol Police are continuing to do during the construction period.

The issue, as you may recall, was one of the Marshal of the Court declining the opportunity—if we can put it that way—on the basis that they were just not organized to do the sort of security that is required in an office building, that they have guards in the Supreme Court and they just felt this was something they were not constituted to be able to handle. The Marshal felt that it took a fully constituted professional police force to do that, which they don't consider they have in the sense that the Capitol Police has.

Mr. **Fazio**. But, George, don't the police officers who work at the Supreme Court go to FLETC like our officers do? Aren't they professional police officers?

Mr. **Russ**. The Supreme Court Police go to FLETC but the Library of Congress Police don't.

Chief **Kerrigan**. They go to FLETC, but I believe that is the end of their training. We have ten additional weeks other than FLETC.

Mr. **Fazio**. They could do that, too, if they chose to. It is not a big issue.

Mr. **Russ**. They would have to set up their own academy.

NEGOTIATIONS REQUIRED ON DELINEATION OF RESPONSIBILITY

Mr. **Fazio**. Or use somebody else's academy. We could allow them to be trained with the Capitol Police. That would be a nice gesture on our part. Could you arrange a meeting?

Mr. **White**. I would be glad, Mr. Chairman, to arrange meetings between ourselves and the Marshal and see where we can go with this. At the time this developed, there was just no other way to go. So we provided for reimbursement, which doesn't mean that appropriations necessarily have to take place at all. In other words, the funds coming in from that project can be used directly for that purpose—as you may recall, the legislation makes our office a sort of GSA for Capitol Hill in that regard. We will collect the rent money from the occupants and pay the debt resulting from the monies that have been borrowed as well as costs of maintenance expenses and security.

So that we could, on a weekly or monthly basis, actually pay the Capitol Police directly so there wouldn't have to be any funds appropriated for them, to avoid that issue of reimbursement. That is the only solution we saw at the time.

Mr. **Fazio**. It is estimated that 51 police positions would be assigned to the building? That is a large contingent.

Chief **Kerrigan**. We did a preliminary study based on Mr. White's design of the building, the entrances, the garages, and that. We figured it would take, I believe, 35 officers and 16 civilians to provide them security seven days a week, 24 hours a day.

Mr. **Fazio**. That is inside the building as well as on the grounds?

Chief **Kerrigan**. No, that would be inside the building.

Mr. **Fazio**. So there would be an additional complement required to patrol the grounds?

Chief **Kerrigan**. We currently patrol that area now. That wouldn't increase.

Mr. **Fazio**. The question is, should there be 51 personnel assigned to a new responsibility even if it is reimbursed. The Judiciary certainly has the ability to provide the protection and has done so in every federal courthouse in the country, I gather.

I just don't see the reason why we should have to take that responsibility even under a reimbursement agreement. I just don't. I can see the use of our officers on the grounds. That doesn't trouble me at all. But, to fund a new contingent of 51 officers to handle internal security, I just don't understand why they don't secure their building in the traditional manner.

POTENTIAL OCCUPANTS OF JUDICIARY BUILDING

Mr. **White**. Mr. Chairman, there is another factor that needs to be considered. That is that about one-third of that building will not be occupied by the Judiciary, at least initially. It is entirely possible, for example, that the Legislative Branch will occupy that portion—they have first call on occupying that other third of the building.

As a matter of fact, our plan at the moment is to have our own telecommunications system in that third of the building. So that the Legislative Branch occupants will be able to be connected to the Legislative Branch telecommunications network. It may be that we would, therefore, be doing the same thing there that we now do at 400 North Capitol Street, which is a private building. We have police in the Senate Computer Center at 400 North Capitol Street because it is categorized, even though it is leased, as part of the Senate office buildings.

The same thing might be true here. It is not a simple situation, in light of the double occupancy of the building.

Mr. **Fazio**. We will want to keep tabs on this decision making process as it evolves.

Mr. Lewis.

Mr. **Lewis**. The point you have just raised, George, is, to say the least, interesting. It sounds to me as though we are already ahead of ourselves as far as allocation of space in that building. Let's presume that because of expanded responsibilities in terms of the fundamental occupants, they decide they need to occupy the entire building. I presume you have plenty of room here in the Capitol you could move them into? Or would they just disappear?

Mr. **Fazio**. Plenty of room?

Mr. **Lewis**. I am talking about over time. Presumably we would establish an entire television operation over there, taking up a third of the building. Let's say the primary function of the building required the use of that space. Where do we plan to move them?

I know we are not supposed to think five years ahead, but it might help.

Mr. **White**. If we occupy the building—by we, I mean the Legislative Branch—obviously that has to be taken into account. There has been no commitment yet on the part of anybody to occupy it except GSA. They say they will lease the balance of the building and put Executive branch federal agencies in there.

But the Legislative Branch has first call. Of course, one way that that can be regulated is through the funds that have to be appropriated annually by the Congress to provide the opportunity for the administrative offices and other judicial functions to lease space anywhere. So there is capacity to control that, but none of those judgments have been made. Nobody knows who the official occupant will be of that third of the building.

It is true that the legislation provides that the administrative office and other judicial functions can move into that space later on, but whether they expand that rapidly or whether the funds become available under annual appropriations for them to lease that space is in the control of the Congress.

Mr. FAZIO. Mrs. Boggs.

Mrs. BOGGS. Thank you, Mr. Chairman.

If the Legislative Branch does occupy that part of the building, will the complement of 16 civilians and the 35 police officers, take care of that part of the building as well?

Mr. WHITE. Yes.

Mr. BOGGS. Would we still be reimbursed by the Judiciary?

Mr. WHITE. Yes.

Mr. BOGGS. Maybe we are getting a bargain.

Mr. RUSS. Originally, there were plans to put civilian operations in there, drugstores, fast food restaurants, some other things. My concern was that we could get involved in the day to day petty crime, where a police officer would have to arrest someone for shoplifting in the drugstore that had a contract with the building, and that he would be tied up in court so you would have to replace him.

I understand that that has been taken out. If that space is going to be allocated to the Legislative Branch, then a modified plan might very well work.

POTENTIAL SPACE FOR LEGISLATIVE BRANCH

Mr. FAZIO. It is important that we raise this issue now and keep an eye on how that space is allocated, and then make some judgments as to what is the best use of our personnel versus other agency personnel.

Mr. Lewis.

Mr. LEWIS. I am a little concerned, George, that perhaps in the other body, where the initial motion for this first developed, decisions are being made that perhaps you know more about than you are expressing for the record here. I am concerned about that.

Well ahead of the fact, frankly, I would like to know who is thinking about expanding Legislative Branch facilities so that we may consider all such plans in a straightforward fashion here. We must be able to discuss these plans in a straightforward fashion when we go to conference with our colleagues.

Mr. WHITE. Let me say whatever knowledge I have about this is available to you. If I haven't expressed it, it is only because it has been overlooked.

But let me say that there are two areas that are becoming available to us, or are intended to become available to us. By us, I am talking about the Legislative Branch. There are about 150,000 square feet in the Old City Post Office, which we are supposed to lease. The final arrangements have not been made yet between the General Services Administration and the Postal Service. All agreements have been made at all the staff levels as to the amount of rent, et cetera, et cetera.

GSA is renting the entire building—at least that is the plan—I am talking about the Post Office now, from the Postal Service—and will sublease 150,000 square feet, in round numbers, to the Legislative Branch.

There has been an obstacle to the finalization of that arrangement apparently because the GSA Inspector General has some qualms about the proposed agreement that has been developed between GSA and the Postal Service, and that apparently has not yet been finalized.

On the assumption that 150,000 square feet at some point does become available, at the moment it has been divided 75,000 for the Senate and 75,000 for the House. That is the only—I will call it a relatively firm, tentative arrangement that has been made.

No commitment or arrangement has been made for the balance of the space in the Judiciary Office Building, which is approximately another 150,000 square feet. There has been no firm commitment except for my overtures to the GSA to lease that space, so that I know that I have a building leased, and therefore be able to fulfill my obligation legally to pay off the debt for the funds that are borrowed to build it, and the GSA has made a commitment in writing that they will take whatever space is made available.

The exact dollars per square foot were not decided upon. I said we were not going to lease space on one side of Union Station for a certain number of dollars per square foot and lease the other side back to GSA for more. We were going to balance that out. All of those issues are still up in the air. There have been no firm commitments made on anybody's part.

I have recently spoken to the Speaker. It is a House Office Building Commission issue. The House Office Building Commission has not met with regard to this—that is, the new House Office Building Commission.

The last House Office Building Commission meeting that was held about this particular issue was when Speaker Wright was here and now Speaker Foley—who as the then Majority Leader—took the position that whatever space becomes available over there should be split half between the Senate and the House.

There has not been a reexamination of that. It is still very much up in the air, but there is a very strong possibility that the Judiciary Office Building space would be taken by the Legislative Branch, at least for whatever time becomes available to it.

That may be five years, ten years, or 20 years before expansion is needed by the Judiciary.

TIMELY DECISION URGED

Mr. **Lewis**. Well, we have expressed concern, as well as interest, in the question of security for that building. I certainly hope we do not wait until we get there and it is crisis time before we have your analysis. I am not sure we want to find ourselves in the position where we have the Capitol Police responsible for most of our security, but in one of the new buildings, we decide we will reimburse somebody who is doing the job in a specific building. The earlier we analyze that the better.

Mr. **White**. I will be glad to arrange for revisiting this issue of the Judiciary, through the Marshal, doing the security for that building.

Mr. **Lewis**. That is enough.

Mr. **Fazio**. Thank you, George.

Any other questions on this point?

POLICE OVERTIME

I would like to proceed and talk about police overtime. You budgeted $2.3 million for overtime.

Mr. **Myers**. Mr. Chairman, are you talking about new facilities? Is that what you are talking about at this time?

Mr. **Fazio**. Welcome, Mr. Myers, I know you had a conflicting obligation. We were talking about the new Judiciary Office Building on the Senate side and our role in the security issue.

Mr. **Myers**. Okay.

Mr. **Fazio**. $2.3 million is requested for overtime, about five percent of the overall salary level. I would like to know whether this overtime is used on an equal basis throughout the force or is it mostly used by the daytime uniform patrols, or other components? We would like to know as much as possible about the usage and allocation of overtime.

Is this use of overtime cost effective?

Chief.

Chief **Kerrigan**. Yes; some of the overtime is not equal in that some of it goes to specialized units—the bomb squad, technical security, or electronic countermeasures, our CDU unit used for demonstrations, that type of thing.

The overall overtime we may need on a daily basis to man the posts, that is equal. Now, of course——

Mr. **Fazio**. There are no real advantages to certain assignments? In other words, all officers have an equal access to overtime?

Chief **Kerrigan**. Most of the time. Of course, the midnight shifts don't get as much overtime as the day shift, or third relief. There is not that much activity or difference in what happens during the evening.

Mr. **Fazio**. That, therefore, is not one of the prime assignments?

Chief **Kerrigan**. No, it is not.

Mr. **Russ**. For other reasons too.

Mr. **Fazio**. The graveyard shift?

Chief **Kerrigan**. Surprisingly enough, there are some people who wouldn't leave it for anything. I don't know why.

Mr. **Russ**. Because we aren't around.

Chief **Kerrigan**. That is right. That might be it.

Mr. **Myers**. And we aren't either.

Mr. **Fazio**. That is probably more like it.

Chief **Kerrigan**. Basically, the overtime is as equal as it can be.

Mr. **Fazio**. These other units that you mentioned, are they following a normal duty pattern and then have to respond to additional assignments to their normal work week?

Chief **Kerrigan**. Yes.

Mr. **Fazio**. In other words, they are on call for problems?

Chief **Kerrigan**. Definitely. They can respond any time, day or night. Plus just jobs that may come up during the course of the day that might keep them here over their normal hours. That happens quite a bit.

Mr. **Fazio**. They do have a routine schedule which is adjusted by whatever events occur?

Chief KERRIGAN. Yes, sir.

Mr. RUSS. Mr. Chairman, I would like to compliment the Chief on the overtime issue. In 1987, we worked 139,000 overtime hours. We budgeted for 100,000 hours this year. In 1988, we had 23 protective details that went out. We have had a 70 percent increase in protective details in 1989. The demonstrations seem to be focusing around the Capitol because of the number of press that are located here.

In 1984, we had 143 demonstrations. In 1989, we had 247. Most of these are concentrated around the Capitol.

We have taken a lot of steps to reduce overtime. As you may well have noticed, we lock down the buildings at night. When the House goes on special orders, we lock the doors down and consolidate those in the galleries into one gallery. That relieves all the police officers all around.

Plus, there has been an overall reduction, but the amount of money may go up because of the COLAs that have been involved. We are reducing the amount of overtime worked.

Mr. FAZIO. That is clear.

Would you submit for the record, the reductions that have been made and how you have gone about doing it?

[The information follows:]

In FY 1987 139,000 overtime hours were worked. This number was reduced in FY 1988 by closing a number of doors, closing the Galleries during Special Orders, and by hiring civilians to monitor the CCTV system. During the past 3 fiscal years the Capitol Police has budgeted for approximately 100,000 hours of overtime each year. The dollar increase from FY 1989 to FY 1990 was $84,000. This increase was as a result of the 4.1% COLA. Our FY 1991 increase is due also to the COLA (3.6%) and the increased cost in our hourly overtime rate as a result of the proposed compressed pay scale. While the same measures that effectively reduced overtime in FY 1988 remain in effect, overtime continues because of growing social concerns. Issues such as Latin American unrest, the homeless crisis, and abortion continue to place burdens on the Capitol Police overtime rate. Additionally, requests for services and assistance at hearings from Committees continue to increase.

Mr. FAZIO. It looks to me like good management.

Mr. RUSS. I want to compliment the Chief and the Capitol Police for doing it. I can't emphasize enough how the Capitol has become the focal point for from five or six people who want to sit down on the House steps, to 400,000, be it Pro-Choice or Pro-Life, or whatever group on the West Front. They seem to be focusing on the Capitol more and more. There is not much we can do about that.

We are reducing the overtime on the day to day period.

REDUCTIONS TO FY 1990 FUNDS

Mr. FAZIO. You have come up with an estimate of $1,017,000 for restoration of fiscal year 1990 reductions. I assume that this is for the drug war funding and sequestration reductions. How did you allocate those in regard to the original mark agreed to in last year's bill? Which items did you reduce? Which activities, for example, are you going to cut back?

Mr. RUSS. Well, the foremost thing we have done is that we were fortunate or unfortunate. We had 37 vacancies that we did not fill. That has been where we saved the bulk of our money. We are concerned about the upcoming recruiting classes because if we fill our vacancies, we could face a severe problem. That is where we saved most of our money. We have just not filled our vacancies.

Mr. FAZIO. That was basically how you got under the revised appropriation?

Mr. RUSS. Yes sir.

Mr. FAZIO. Had you not had people leaving the force, you might have been forced to make some tough choices?

Mr. RUSS. Absolutely.

[CLERK'S NOTE.—The Capitol Police submitted the following information on the allocation of reductions of $1,017,000 to the fiscal year 1990 appropriations. Also, see page 188.]

Item:	*Amount*
Vacancies (20)	$518,000
Terminal leave payments	435,000
Special duty pay	64,000
Total	1,017,000

ADDITIONAL DISCUSSION ON REDUCTION OF POSITIONS

Mr. FAZIO. Once we fix this problem of people leaving the force, you might have an even more difficult budget problem in the future?

Mr. RUSS. That is one of the reasons we want to explore some other possibilities. We have a task force right now working on a program to try to get down to a thousand men and women. Hopefully, our budget will be realistic, it will be accurate, and it will be fair. We won't have to worry about vacancies in the future.

Mr. FAZIO. When you say a thousand, are you talking about coming down from 1,348 to 1,000 positions.

Mr. RUSS. Yes, sir. I am saying we need to give the men a pay raise. That is one way of doing it.

Mr. FAZIO. You are telling me the greater experience that the remaining core of a thousand would have, the more time in service, the more benefits they derive from being on the job, the more efficient they can be? They can do the job, and cover the law enforcement needs on Capitol Hill?

That is a heck of an admission.

Mr. RUSS. We could use 1,300 men and women. However, I think it is more important, and the Board has talked about this, more important to give the men and women of the Capitol Police a pay raise. If the only way we can give them a pay raise is to do it strategically and do it smart, reduce to 1,000 men and women, I think that is the better option.

I believe if we don't do it, we are going to be down to 1,000 men and women anyway, because there are too many other departments that need our people. Most of the agencies around here hired in 1968 after the riots. This is 1989, and these people are all going to be leaving now.

The District of Columbia is going to come down and—what was that figure they gave us? They are looking for 1,000 new men and women. They have said the Capitol Police is their number one target. We are here. We know how to paper cases. We know the area. We are better trained than any of the other people. They can come in and take our officers.

Mr. FAZIO. Are you going to be able to manage to cover Capitol Hill in a more efficient way?

Mr. RUSS. Included in that total are some of the people who are now police officers whose positions will be civilianized. The 1,000 men and women would be trained police officers, and then we could take some of our clerks, our radio maintenance, vehicle maintenance and some other departments and civilianize them, and we could get down to 1,000 uniformed, sworn police officers.

Mr. FAZIO. We certainly want to encourage your efforts. Also, in making that kind of a rational production and reallocation of personnel.

Mr. RUSS. We have to get a retirement system first and then, through attrition, we would get down to the 1,000. We don't want to terminate anybody.

Mr. FAZIO. Mr. Lewis?

POSSIBLE REASONS FOR POLICE TURNOVER

Mr. LEWIS. Jack, I want to express my agreement with the Chairman's general support for efforts to consolidate production and personnel. I think it is a good policy decision and one this committee has expressed for a while.

I am, however, a little concerned about the automatic assumption that the turnover relates to pay, especially relative to the newer people. You know, we did provide a reasonably decent pay raise three or four years ago that was supposed to overcome that difficulty.

Yet, now there is an indication that the difficulty wasn't overcome. I am wondering if in your examinations anybody has analyzed whether turnover among newer police officers is a common pattern in agencies around the country, and if it is, whether you can solve that problem by pay alone or sizable adjustments ought to be discussed. We should know if we are reasonably competitive—a reasonable marketplace in terms of the way we are approaching your budget.

Mr. RUSS. I think there is also. A police officer who is employed on Capitol Hill has certain expectations. He goes through this elaborate training procedure, he is taught very ably how to arrest, how to handle himself in most situations. He goes to our academy. He then is assigned to a parking lot or an area where there is no activity. And he is disillusioned. There are always those. But, the bulk of our people who are leaving, when asked, say it is pay.

When you look at the charts, we don't compete locally at all. We are dead last in a lot of areas, in starting salaries and in the duration it takes to reach top salary. We just can't compete.

But, I do believe some police officers do leave to get in a car and arrest people. That is a draw.

Chief KERRIGAN. We do an exit survey on every officer that leaves the department, trying to find out exactly the reason why they are leaving. The bulk of them leave because of benefits and the salary. We also have the ones who leave for job satisfaction.

They are not doing what they thought they would be doing. There are a few of those. Also, there are a few of those that can work in the county they are living in and don't have to put up with the drive to Washington every day. That comes into play.

The bulk of them leave for better pay and benefits.

Mr. LEWIS. Of those you have surveyed, what percentage of those who are leaving for better pay and benefits end up going to work for another law enforcement agency?

Mr. RUSS. It is 50 percent, I believe.

Chief KERRIGAN. I think it is a little higher than that. If you can give me one second, I will try to find it.

Mr. RUSS. You have got a chart there, Ed. It is the 1988-1989 chart.

Mr. LEWIS. I am not really attempting to challenge your evidence, but rather, that the evaluation is probably an important part of the mix. It has been suggested that the length of time to get to the top salary is something that can be dealt with in another way.

As you are consolidated, you can consider more than personnel.

Chief KERRIGAN. Of seventy-four people who left in 1989, the highest number left to go to other departments. That was 24. The next highest number was for retirement. That was 17. The next is 11 who quit for personal reasons, and it goes drastically down from there.

Mr. LEWIS. A thorough post-departure survey would be helpful in terms of what we are trying to do here. We want to recruit people who are likely to stay in the profession, particularly after we train them.

As you are compacting, you are trying to build a professional operation, and there are a lot of elements that go into that.

REMOVAL OF PARKING ON EAST PLAZA

Mr. FAZIO. Do you have a question, Mr. Myers?

Mr. MYERS. Yes, I do have.

What happened to all the people who used to park in front of the Capitol? Where are they parking now?

Mr. RUSS. Well, in the Rayburn garage, they have reduced the size of the spaces, which allowed us to get a number of parking spaces in there. Down in the west front on the Capitol, there used to be just wide open streets.

George has taken the initiative there and created hundreds of parking spaces.

Mr. WHITE. We put diagonal parking in the middle of those wide streets at Maryland Avenue, and at Pennsylvania Avenue on the Senate side. I think there are probably 150 parking spaces that were generated between those two streets.

In addition to that, the parking that became available on the so-called Carr property south of Ivy Street, that parking lot that we paved and lit so that cars could be put there. There were an equivalent number of spaces made available. There were musical spaces played. Some people stayed on the curved driveways of the Capitol outside the Plaza.

Those people who were there were moved out a little farther. I don't have anything to do with that. We just paint the lines. Who goes in them is another problem.

ACCESS TO RAYBURN GARAGE ENTRANCE

Mr. MYERS. Pecking order. The other thing—we are not trying to micro-manage here—but it has always been a problem if you arrive at 8:00 in the morning. After coming across the 14th Street Bridge and coming off the Southwest Freeway you come up the exit ramp and see no traffic on Canal Street. It always disturbs me that that happens, Chief.

Has any thought been given to closing Canal street and making C Street one way from 7:30 to 9:30 so the left lane exits into the Rayburn Building, and the right lane continues up to Cannon Building. Has any request been made to the City to accommodate traffic during those hours? Many streets are changed during those hours and it makes all the sense in the world to get people off that bridge.

Chief KERRIGAN. I don't believe we specifically have done D Street. We have done some other streets in the area, and asked the City to take a look at it and see if it is feasible to do it. Some of the requests they have honored, and some of them they have not.

But, we can check on it.

Mr. MYERS. Maybe I am off-base. It would seem to me this would make sense.

Mrs. BOGGS. That makes sense.

Chief KERRIGAN. I come across the 14th Street Bridge and sit every morning, and I hate it.

Mr. RUSS. There was a problem with the people who live in Maryland and on Capitol Hill getting into the Rayburn Building if they have to come down that way.

Mr. MYERS. Just that short block between the Rayburn entrance and Canal, make it one-way in the morning, all going east. The left lane exits into the Rayburn Building; the right lane continues to the Cannon Building parking or wherever the parking is located

Mrs. BOGGS. So that instead of one lane just turning left traffic justs backs up in the tunnel.

Mr. MYERS. On east of—what is that street that goes into the Rayburn Building? From there on, it needs to be two-way, so it is accessible to people from Maryland.

Mr. RUSS. We looked into it, but I don't remember the reason. I will look back and see what the problem is. I will get back to you within a week. We have looked at it. For some odd reason, we couldn't do it at the time. Maybe we can now.

Mr. MYERS. Just that busy hour in the morning. That is when it is the most critical.

Mr. FAZIO. Are there any further questions for the Capitol Police Board? If not, we thank you all very much and wish you well in dealing with the authorizing committees. We look forward to seeing you succeed with some of your basic causes.

I will insert some questions to be answered for the record.

[The questions and responses follow:]

CURRENT STAFFING

Question. Let us begin by clearing up a few questions on the current staffing plan. Your budget submission shows an increase of 6 positions between 1989 and the current budget year, FY 1990. We did approve the fitness director, subject to a report being given to the Committee. We did receive that report. Has that position been filled? At what salary level?

Response. Yes, the position of fitness director has been filled at a salary rate of $31,558 a year.

Question. Last session, H. Res. 294 established 5 additional positions for a special leadership security detail. Those positions were to be filled from existing members of the force, and their former positions were to be held vacant. That is to allow any of the members of this detail to return to his old job if that becomes necessary. Have these new positions been filled? Are you keeping the old jobs vacant? And do you plan to do so on a permanent basis so that there will always be 5 less actual jobs filled on the force than the actual number of jobs authorized?

Response. Four of the five positions established by H. Res. 294 have been filled from existing members of the force, and we are keeping those officer's prior positions vacant. We do plan to keep these positions vacant to allow the officers to return to their prior positions if necessary. Five positions on the force will remain unfilled at all times.

OVERTIME

Question. For the record, tabulate the use of overtime, including the percentage to total compensation, for the various organizational components.

Response. The following chart depicts the overtime usage by the 5 Capitol Police Bureaus and their elements for the calendar year 1/1/89 through 12/31/89, and what percent of the Department they comprise.

Element	Percent overtime	Approximate cost	Percent department
Chief's staff	1.3	$33,933	3.1
Uniform Services Bureau	68.6	1,635,220	73.9
USB staff	(.6)	(1,634)	(.2)
Patrol division	(14.7)	(366,652)	(15.8)
House division	(18.3)	(438,291)	(20.6)
Senate division	(12.8)	(311,890)	(16.8)
Capitol division	(22.2)	(516,753)	(20.5)
Protective Services Bureau	25.3	670,366	14.9
PSB staff		(2,682)	(.3)
Technical Security division	(3.6)	(97,919)	(1.7)
Special investigations division	(2.1)	(56,829)	(2.8)
Criminal investigations division	(.6)	(13,519)	(7.4)
Personal security division	(19.0)	(499,417)	(2.7)
Employee Development Bureau	2.4	64,664	3.6
Administrative Services Bureau	2.3	56,997	4.6
Total	100	2,461,180	100

MANDATORY INCREASES

Question. Primarily, your budget increase is in the "so-called" mandatory area, $7.1 million of the $7.4 million. How did you come up with the $1.7 million ($1,675,000) for the FY 1990 COLA, the 3.6% increase on January 1, 1990?

Response. To arrive at the $1.7 million ($1,675,000) for the FY 1990 COLA we used the Committee recommendation of $56,253,000 (this figure was prior to the reductions of P.L. 101-239, Sequester, P.L. 101-164, Emergency Drug Funding, and P.L. 101-163, other reductions) plus the $45,000 (amount increased on the Senate side for restoring 2 of the 78 additional positions that were requested but denied by the House, viz., a procurement clerk and computer programmer). From the $56,298,000 ($56,253,000 + $45,000) $9,756,000 (for benefits) was subtracted. That figure $46,542,000 was then multiplied by the 3.6% (amount estimated for FY 1990 COLA). The $1,675,000 is the annualization of the FY 90 COLA.

Question. Explain the $5.8 million (+12.8%) increase in your salary account.

Response. The $5.8 million increase in salaries accounts is needed to provide the necessary services for Congress.

1. *Annualization of FY 1990 COLA—$1,675,000.*—Annualized 3.6% COLA for FY 90 positions.

2. *Longevity Increases—$450,000.*—Increase represents scheduled longevity pay increases. The Capitol Police proposed salary schedule includes a longevity increase for each step. In the proposal, longevity increases will be awarded to employees each year for the first ten years, and every other year thereafter, until they reach 14 years of service.

3. *Proposed Pay Scale Adjustment—$1,713.000.*—Increase represents the compressed pay step schedule from sixteen step-twenty-six year scale, to a twelve step-fourteen year schedule.

4. *Overtime—$166,000.*—The additional cost is due to the 3.6% COLA and the compressed pay step system. Note we are not asking for more overtime hours, just an increase due to the higher cost per hour.

5. *Projected FY 1990 COLA—$650,000.*—This is a projection of 50% of an estimated COLA of 3.5% for 9 months (or 1.3%).

6. *Restoration of FY 1990 Reductions—$1,017,000.*—We are asking to restore the $775,000 sequestered as a result of P.L. 101-239, and the $242,000 reduction for the Emergency Drug Funding P.L. 101-164.

7. *Annualization of FY 1990 Position—$35,000.*—This represents the additional cost associated with the civilian position of Physical Fitness Director approved in FY 90 but not funded.

8. *Funding for 2 Senate Positions—$50,000.*—The Senate is asking to restore the two positions reduced in FY 1990 to create 2 civilian positions (computer programmer and procurement clerk). In FY 1990 the Conference Report authorized two additional positions for the Capitol Police but stated that they be hired from available funds. The Conference Report further stated that the Capitol Police could reduce their sworn positions by two, to compensate for the two additional non-sworn positions authorized, thus releasing the necessary funds.

Question. How much is in there for new positions?

Response. The Senate is asking for $50,000 to restore the two positions reduced in FY 1990 to create 2 civilian positions (computer programmer and procurement clerk). In FY 1990 the Conference Report authorized two additional positions for the Capitol Police but stated that they be hired from available funds. The Conference Report further stated that the Capitol Police could reduce their sworn positions by two, to compensate for the two additional non-sworn positions authorized, thus releasing the necessary funds. It was our intent to hire civilians to relieve the uniformed officers from certain administrative duties thus allowing the officers to fill shortages that now exist in the field.

Question. The retirement and health benefit increase of $1.4 million. That's a 14% increase over the current level.

Response. The 14% increase reflects the 13% increase in salaries accounts. The retirement and health benefits show a slightly higher percentage than the salaries accounts due to higher costs associated with health benefits and the increased number of personnel that will fall under FERS.

VEHICLES

Question. How many vehicles do you now have?

Response. Presently, we have a vehicle fleet of 133.

Question. Outline the vehicle categories—how many patrol cars; scooters, or motorcycles; special purpose; and other vehicles?

Response. The following chart provides the type of vehicle and the number of those vehicles in the Capitol Police Fleet.

Type of Vehicles:	*Number of Vehicles*
Ram Charger	1
Suburban	4
Bus	1
Blazer	4
Trailer	2
Truck	4
Station Wagon	5
Specialized Vehicles[1]	6
Van	11
Sedan	44
Motorcycle	51
Total (3 less than FY 1989)	133

[1] Bomb truck, commmand vehicle, utility jeep, prisoner wagon, police crane, and transvan.

Question. How many of these are assigned to each Sergeant at Arms? What is the usage of each?

Response. Currently, the officer assigned to the Senate Sergeant at Arms is assigned a Chevrolet Caprice Classic. The vehicle is used for the transportation of Senators. The House Sergeant at Arms has three vehicles assigned to his office. These vehicles are used to transport Members of the House.

Question. What is the current budget for vehicles? How much are you requesting for FY 1991? What vehicles would be acquired in FY 1991.

Response. The current FY 1990 budget for vehicles is $183,750. In FY 1991 we are not requesting any funding for additional vehicles, we have requested $288,500 for replacement vehicles. Replacements are requested for 10 sedans, 2 station wagons, 1 pick up truck, 1 explosive vehicle, 10 motorcycles, and 2 vans.

Question. How many police payrolled personnel are assigned to each Sergeant at Arms? Duties? Payroll?

Response. There is one officer presently assigned to the Senate Sergeant at Arms office. There are three officers presently assigned to the House Sergeant at Arms. The officer's duties include: assisting in protective details, such as escorting visiting dignitaries, heads of state and Members; monitoring and providing supplemental manpower in the Senate Chamber or Galleries when there are threats of demonstrations and outbursts; providing security at Committee hearings when the potential for disorderly conduct is present; providing security at large or potentially violent demonstrations on Capitol grounds; monitoring the police radio for the Sergeant at Arms; acting as a liaison between the Sergeant at Arms and various Capitol Police Divisions.

JOB DESCRIPTION OF CAPITOL POLICE OFFICERS ASSIGNED TO HOUSE SERGEANT AT ARMS OFFICE

All officers in these positions are sworn Capitol Police officers, with extensive experience in protective services, defensive driving, emergency response, and most have prior military experience. Training of these officers includes, but is not limited to, protective services, anti-terrorism, criminal investigations, counter-intelligence, counter-surveillance, tactical defense driving, special weapons, management and supervision, and academic instruction. These officers are required to work extremely long hours and be available at all times via pager or telephone to respond to emergencies.

Duties include:

Participation and assistance in coordination of all protective details in the House of Representatives involving the President, Vice President, Cabinet officials, foreign Heads-of-State, senior foreign Ministers and foreign Ambassadors (generally requires extremely close proximity to the protectee);

Frequent responsibility for coordinating and managing security arrangements for high-profile VIP visitors to the U.S. Congress, to include acting as the visitors' security advisor;

Travelling with, and participating in the planning of, all Congressional delegations large enough or unique enough to need Protective Details (funerals, Conventions, working conferences, etc.);

Acting as backup/support drivers for Protective Detail Leadership drivers;

Briefing Congressional staff on incident reports involving security breaches or difficulties;

Assisting in advising Members of Congress regarding special security arrangements and threats;

Providing constant advice to improve USCP operations including details and program planning;

Securing the large sums of money exchanged between the House Bank and the National Bank of Washington; and

Maintaining liaison/coordination with USCP offices.

Question. For the record, indicate the number and payroll of personnel assigned to each Sergeant at Arms for the past five years.

Response. Since 1987, there have been three officers assigned to the Senate Sergeant at Arms office. All of the officers assigned have been on the Senate side payroll. There is currently one officer assigned in the office of the Senate Sergeant at Arms.

OFFICERS ASSIGNED TO SENATE SERGEANT AT ARMS

Name	Rank	Payroll	Dates
Shawna Renee Norton	Spcl Tech	Senate	August, 1987—Present
Thomas Patrick Moore	Spcl Tech	Senate	Not provided
Nicholas John Garito	Spcl Tech	Senate	Not provided

The officers assigned to the office of the House Sergeant at Arms over the last five years are detailed below. There are currently three officers assigned.

OFFICERS ASSIGNED TO HOUSE SERGEANT AT ARMS

Name	Rank	Payroll	Dates
Kenneth Burkhead	Sgt	House	Jan. 1972—Sept. 1987
Warren Hurlock	Det	House	May 1978—Present
Robert Fitzpatrick	PFC	Senate	Aug. 1989—Present
Joseph Simpson	PFC	Senate	Sept. 1987—Jan. 1990
Steven Caldwell	PFC	House	Dec. 1988—Present

CAPITOL SECURITY PLAN

Question. For the record, provide an update on the status of the Capitol complex security proposal.

Response. The present status of the Capitol complex security proposal has not changed since the Whip's Security proposal was transmitted in May 1989 to selected Committees of the U.S. House of Representatives and United States Senate. A summary of those Committees and their approval is noted below.

Committee	Status
Senate Committee on Rules and Administration	No approval received to date
Senate Committee on Appropriations	No approval received to date
U.S. House of Representatives Committee on Administration	No approval received to date
U.S. House of Representatives Committee on Public Works and Transportation	No approval received to date
U.S. House of Representatives Committee on Appropriations	Conditional approval received July 21, 1989

The estimated cost of the Whips' Security proposal was $7,437,264 in May 1989. This estimate was not based on final design drawings; when such drawings are completed, a final cost estimate can be determined. An amount of $13 million, which was appropriated in the Urgent Supplemental Appropriations Act, 1986 and subsequently transferred to the Architech of the Capitol, is available for obligation to perform the work proposed in the Whips' Security proposal.

IMPACT OF SEQUESTER/DRUG REDUCTIONS

Questions. **You are requesting $1,017,000 to restore reductions due to the sequester and the drug funding amendment.**

What impact are these reductions having on your operations? Where are you cutting services? Have any essential functions been disrupted?

Response. The reductions have placed in doubt our remaining recruit classes, and our terminal leave lump sum payment program.

Due to the sequestration, certain funds had to be set aside in our appropriation. To meet this sequestration, funds that had been dedicated for lump sum terminal leave and Special Duty pay for CERT members were sequestered. These funds account for approximately half of the total amount needed. The remainder of the funds were sequestered from the general salary expense of the Capitol Police. To meet the imposed spending level, a post priority system was developed. This system established a post priority for all assignments based upon criticality, sensitivity, location and security threat level. It is the goal and intention of the Capitol Police to fulfill all assignments; however, due to personnel shortages, posts will be filled in compliance with this post priority system.

The Capitol Police depend on full staffing to provide all the requests for services and post assignments. Whenever vacancies occur there is a personnel shortage and some posts are not covered. This causes us great concern because a post must be left vacant or a request for service must be denied. Our personnel are shifted about to ensure maximum coverage with the officers that are available. As vacancies are filled with new recruits, and each recruit completes the necessary training, post assignments are evaluated to ensure coverage.

TUESDAY, JANUARY 30, 1990.

ARCHITECT OF THE CAPITOL (INCLUDING BOTANIC GARDEN)

WITNESSES

HON. GEORGE M. WHITE, ARCHITECT OF THE CAPITOL
J. RAYMOND CARROLL, DIRECTOR OF ENGINEERING
EMANUELE CRUPI, BUDGET OFFICER
WILLIAM L. ENSIGN, ASSISTANT ARCHITECT OF THE CAPITOL
HERBERT FRANKLIN, EXECUTIVE OFFICER
ROBERT MILEY, SUPERINTENDENT, HOUSE OFFICE BUILDINGS
WILLIAM F. RAINES, JR., ADMINISTRATIVE ASSISTANT
L. GAIL STANLEY, STAFF ASSISTANT
TOM WARD, SUPERVISING ENGINEER, CAPITOL BUILDING
DR. BARBARA WOLANIN, CURATOR
ART McINTYE, INTERNAL AUDITOR
BILL KINTER, HOUSE TELEPHONE SYSTEMS

Mr. FAZIO. We will now hear from George White, Architect of the Capitol, and members of his staff. They are here to present the 1991 budget request for the activities under his jurisdiction exclusive of those directly related to the Senate.

The estimates we will be considering total $153,564,000 which is a net increase of $63,808,000, or 71 percent over the 1990 level. Eighteen new positions are requested. These figures do not include the Senate office buildings budget, which will be considered by the other body.

Mr. White, will you please introduce the staff who you have brought with you? Many of us know them, but it is important that we introduce them each year, just so we can keep track. Then proceed with your statement, as you have done in the past. We will place it in the record.

STAFF INTRODUCTION

Mr. WHITE. Thank you, Mr. Chairman.

I have with me this morning Ray Carroll, our Director of Engineering; Manny Crupi, Budget Officer; Bill Ensign is the Assistant Architect of the Capitol. We have someone new this year who is my Executive Officer, Herb Franklin, who is filling the post that Elliott Carroll used to fill. It is a different post, but Elliott Carroll retired and Herb Franklin is in his place, although we have changed the responsibilities.

Bob Miley, who is the Superintendent of the House Office Buildings.

Mr. FAZIO. We are still living off the good work he has done over the last couple of years.

We all would have to agree that the buildings are in better condition than they were several years ago. He deserves a good deal of the credit, as do you, and also others who acted as squeaky wheels to cause people to pay a little more attention to the problem.

Mr. WHITE. Thank you, Mr. Chairman.

I am sure Bob Miley is appreciative of the kind words. We need all the kind words we can get.

Mr. FAZIO. I just gave you all that I have.

Mr. WHITE. I hope there are a few more.

Mr. FAZIO. Mrs. Boggs will help.

Mr. WHITE. And we have Bill Raines, my Administrative Assistant; and Gail Stanley, who is the Staff Assistant. Here is Bill Ensign just coming in the room. Tom Ward, who is the Supervising Engineer for the Capitol Building; Dr. Barbara Wolanin, who is our Curator, and Art McIntye, who is our Internal Auditor.

He has got a tough job. You have got to be a diplomat as well as a junk yard dog, and he does a first-rate job of that, Mr. Chairman.

I don't think I have forgotten anyone. We have Bill Kinter here, who has been detailed to our office from the House Telephone Systems for implementing—enabling us to implement this conversion to the MCI Wide-Area Common Services Contract. So, he is here in case we need any responses in that regard.

Mr. FAZIO. Welcome, to you all.

Mr. WHITE. Just highlighting the statement, Mr. Chairman, you mentioned the increase. It is a substantial one this year. As you know——

Mr. FAZIO. I would like to make sure that Mr. Pincus is introduced, too. I think they all should be on the record. Yes, that is a sizable increase.

Mr. WHITE. It is a sizable one. As you are aware, I am often in a position to make requests that I am either directed or requested to make by others.

Mr. FAZIO. I understand.

STATEMENT HIGHLIGHTS

Mr. WHITE. A number of them, let me just cite some of the larger ones that make up a large portion of the increase. The continuing replacement of the PCB transformers, which is required by law, amounts to a little over $4 million.

Structural repairs to the east monumental stair on the east front of the Capitol for the House of Representatives shored up now, as you know, is $3.5 million.

Construction of the House Publications Facility, which is $10 million. Construction of additional elevators in the Cannon and Longworth Buildings, which is $8 million. Payment to the D.C. Government for water and sewer services, as required by law, now a little over $3 million.

Mr. FAZIO. A new $3 million item?

Mr. WHITE. That is right. We didn't pay anything before. Under the law which was passed last year, we are now required to pay the District of Columbia for sewer and water fees.

Construction of the new National Garden, which is almost $4 million.

Those items, when they are added together,—I didn't mention them all, but to highlight them—add up to the increase. Of the total increase, Mr. Chairman, mandatory items total 6 percent, these are the payroll items increase, all authorized by law. That is 6 percent of our total.

NEW POSITIONS REQUESTED

New positions, as you mentioned, 18 new positions are requested, excluding the Senate side. That is 1 percent of the increase.

Mr. FAZIO. How many on the Senate side, just out of curiosity?

Mr. WHITE. Fourteen.

Mr. FAZIO. You will tell us as we go along why those positions are required?

Mr. WHITE. Yes, I will. The bulk of our requests in that regard, Mr. Chairman, that is, the 18 new positions, are for people to be responsible for and responsive to the needs of our employees. These are people in our, what we used to call our Personnel Office, and we now call the Human Resources Division. It is a more descriptive name with a little higher gloss for the same group.

We have a very low percentage of people in our personnel department or Human Resources Division per employee, much lower than in other portions of the government. We are just not able to serve the people who are daily working in all categories, to handle their pension problems, their retirement problems, workman's compensation problems and all of those vast personnel issues on a timely and responsive basis.

We need more people for that. We have asked for three people in safety and fire protection areas. Those, again, are people who are needed in order to respond to the work load of our people working on a daily basis.

We have——

Mr. FAZIO. Would these people be OSHA oriented?

Mr. WHITE. Yes, OSHA and the safety and security area generally. So, the bulk of people that we are asking for are in those areas, and I will detail those.

Mr. FAZIO. Could you give us some comparisons for the record? Obviously, you have done a study. You would be able to give us the fact that on a per capita basis, you have fewer personnel positions than comparable agencies?

Mr. WHITE. I can do that right now, Mr. Chairman. In our Human Resources Management Division, the generally accepted servicing ratio is one personnel person for each 100 employees, or in our case, a total of 25 personnel employees would be needed. The current ratio in our office is approximately one personnel person for each 150 employees.

If we are given those that are requested, our ratio will be one personnel person for each 120 employees. We will still not be at the one person per 100 employees, which is the accepted ratio.

We are trying to stay lean and mean, but we really need people to take care of our people. There are some detailed justifications expressing all of the reasons why this is important to do.

One of the areas that we have been asked by the General Accounting Office, in a recent report, to implement is the incentive award provisions, which we have never implemented. It takes someone to operate that kind of program.

Mr. **Fazio**. You have never provided any incentive awards for your employees?

Mr. **White**. We never have. Ever since before I came here and since I have been here, we have always viewed that as an area which is fraught with difficulty, because you have to make judgments regarding why one person received an incentive award and the other one didn't.

On the other hand, that is not a good excuse for not facing the problem. It is just avoiding the problem. We have been asked to do that, and that takes people, et cetera. I won't bother you with all the details. They are written in some detail in our justification, Mr. Chairman.

[The statement of Mr. White follows:]

STATEMENT OF GEORGE M. WHITE

ARCHITECT OF THE CAPITOL

Fiscal Year 1991 Appropriation Request

In presenting our appropriations request for fiscal year 1991, Mr. Chairman, I intend to proceed, with your approval, in the same manner as has been the practice for the past several years, that is, to present a brief summary of the various requests, following which I will be pleased to respond in detail to questions regarding any of the specific items that you wish to pursue.

The justifications have been prepared, Mr. Chairman, to include all items pertaining to the "Architect of the Capitol," including House items, Senate items, joint items, and the Botanic Garden. As directed in the Conference Report accompanying the Legislative Branch Appropriations Act, 1990, I have prepared the fiscal year 1991 budget request as a single appropriation.

The total appropriation request for fiscal year 1991 is $204,884,000, which includes funding for 2,129 positions. This represents a net increase of $80,311,000 over the fiscal year 1990 revised appropriation total of $124,573,000. Stated differently, gross increases requested are $91,323,000 which have been reduced by nonrecurring fiscal year 1990 deductions amounting to $11,012,000. If the item "Senate Office Buildings" is excluded, the $91,323,000 increase for 1991 reduces to $68,497,000, of which $25,931,000 is for House Office Buildings. The $68,497,000 increase, which excludes "Senate Office Buildings," falls into five categories.

Before I detail the increases by category, I would like to comment on the size and nature of the requested increase of $68,497,000 for fiscal year 1991. The increase requested is 71% over the appropriated amount for fiscal year 1990, which at first glance seems immense. However, 75% of this increase, $51,275,000, is accounted for by thirteen projects, with nine of which I have been directed or requested to proceed. The balance are absolutely necessary to keep the Capitol Complex buildings in good, safe and workable condition. Included among these large items are the continued replacement of PCB transformers in the Capitol complex, amounting to $4,184,000; structural repairs to the House monumental east stair, $3,517,000; telecommunications funding, $3,000,000; renovations to the House Restaurant kitchen in the Capitol Building, $3,000,000; additional security measures in the form of an advanced in place monitoring system, $3,000,000; construction of the House Publications Facility, $10,000,000; construction of new elevators in the Cannon and Longworth Buildings, $8,000,000; renovation of the antiquated electrical system in the Cannon Building, $2,000,000; construction of a secure conference center for the House of Representatives, $1,500,000; payment to the D.C. Government for water and sewer services as recently required by law, $3,147,000; repairs to steam and chilled water pipe tunnels underneath streets, $3,000,000; replacement of the Madison Building's roof, $3,100,000; and construction of the new National Garden, $3,827,000.

Mandatory Items, which total $4,280,000, or 6% of the increase: This category includes personnel benefits and premium pay items for existing positions and within-grade salary advancements and other changes authorized by law.

New Positions, which total $723,000, or 1% of the increase: A total of 18 new positions are requested in the fiscal year 1991 budget, excluding 14 new Senate positions. Although I am aware of the restraints placed on the Legislative Branch in terms of new positions allowed over the past few years, the need is so great that I am constrained to bring these staffing concerns to the Committee's attention. The positions requested, are for the most part, needed to provide support for activities that are workload increases and to improve service delivery. Some of the workload increases are in the area of technical and administrative support for Architect of the Capitol computer systems; others are to provide support for a new program to manage hazardous materials and waste; and others are to provide support for our human resources division. The requested new positions fall into several work categories, namely: air conditioning engineering division, one position to provide for clerical and secretarial support for all the engineering divisions located at 501 First Street, S.E., three positions for the safety engineering division, which was created to develop and support programs for a safe work place, to oversee the management and disposal of hazardous materials as required by law, and where responsibilities have increased; five positions for the Human Resources Management Division, including one staffing specialist devoted to recruiting new employees and developing a career staffing program, one workers' compensation specialist to administer the growing requirements of the federal Office of Workers' Compensation and the newly created Architect of the Capitol drug free work place program, one employee development specialist to monitor current and projected future employee career development programs, including providing on the job training, reducing staff turnover, and creating a formal apprentice program, and two positions to implement, administer and support an employee incentive awards program, authorized by 5 USC 4501-4507; data processing division, which supports the major automated administrative functions, two computer operators to keep up with growing user needs and one computer assistant to provide administrative support to the head of the division; new positions for the director of management information systems, who is tasked with meeting the goals set forth in the strategic plan and updating those goals as necessary, including three positions for a microcomputer support group to provide a coordinated approach and support to in-house microcomputer users, and one secretarial position to provide administrative and clerical support to this activity; and two positions for the Botanic Garden, including one curator for the newly created National Garden and one secretary to provide clerical and office support and relieve foremen and facility managers of secretarial tasks. Annual Recurring Maintenance, which totals $4,398,000 or 6% of the increase; This category is required to finance normal maintenance responsibilities, such as repairs and improvements to electrical, air conditioning and other mechanical systems; procurement of supplies and materials and equipment; cleaning and custodial care; and painting. Of the total increase of $4,398,000, approximately $464,000 represents inflationary increases. The balance of this increase, $3,884,000, is required primarily for ongoing needs, such as the rental of warehouse space, and new programs, such as providing for the operations and maintenance of the new safety engineering and office waste recycling programs. The largest single requirement, in the amount of $3,147,000, for this category, however, is in the "Capitol Power Plant," and provides for a new annual water and sewer service payment to the District of Columbia government as provided for in Public Law 101-168, the District of Columbia Appropriations Act, 1990. This item represents 72% of the requested increase under this category.

Cyclical Maintenance, which totals $12,141,000, or 18% of the increase: As indicated in the past, I define this category as long term maintenance items that arise only once in ten or twenty years, such as roof repairs, sidewalk replacement and so forth. Four of the largest items total $8,700,000, and represent 72% of this increase in monetary terms requested under this category. They are the electrical system renovation, Cannon Building ($2,000,000), repairs to steam pipe tunnels, ($3,000,000), replacing the steam lines from the Rayburn Building to the Botanic Garden ($600,000), and roof replacement at the James Madison Memorial Building, ($3,100,000). The remainder of $3,441,000 is required for several items for property and equipment maintenance replacement. I should mention that proper cyclical maintenance is a critical investment in the Capitol Complex. Several million dollars may seem costly, but compared to the cost of constructing a new building because we haven't kept an old one in good shape, these costs are relatively minor.

The last category is Continuing and Initiating Other Programs, which totals $46,955,000, or 69% of the increase; Included in this category are funds for such programs as replacement of PCB transformers ($4,184,000); an advanced in place monitoring system for the House side of the Capitol Complex ($3,000,000); repairs to the House monumental stair ($3,517,000); telecommunications funding for the Capitol Complex ($3,000,000); renovation to the House restaurant kitchen in the Capitol Building ($3,000,000); construction of additional elevators for the Cannon and Longworth Buildings ($8,000,000); a secure conference center for the House of Representatives ($1,500,000); construction of the House Publications Facility ($10,000,000); and construction funding for the new National Garden ($3,827,000). Several other items, which total $6,927,000, comprise the balance of this request.

I would also like to mention briefly two major projects and their progress. The West Front Restoration was completed in September 1987, nearly one year ahead of schedule and $25 million under budget. The study on the structural problems with the terraces was completed in April 1988, and the Commission on the West Central Front directed me to request a reprogramming in the amount of $9,820,000 to repair the terraces and provide 4,800 square feet of utilitarian space under the middle terrace level. A reprogramming request was forwarded in October 1988 to the Committees on Appropriations to provide for the design and construction of the structural repairs. The House Subcommittee on Legislative Branch Appropriations approved a reprogramming of funds in the amount of $9,820,000. The Senate Subcommittee on Legislative Branch Appropriations recommended approval of a reprogramming not to exceed $1,000,000 to provide for the design phase including working drawings, specifications, and review of bids, etc., to undertake the bidding process.

In addition, at the request of the Majority Leader of the Senate, and with the concurrence and approval of the House Office Building Commission, I forwarded a proposal in April 1989 to the Commission on the West Central Front to provide approximately 16,400 square feet of space within the courtyard areas on the West Central Front at an estimated cost of $7,000,000. This proposal was approved by the Commission on the West Central Front. A reprogramming request was forwarded in May 1989 to the Committees on Appropriations to provide for the design and construction of urgently needed additional office and committee space in the courtyard areas on the West Central Front of the Capitol. The House Subcommittee on Legislative Branch Appropriations approved a reprogramming of funds in the amount of $7,000,000. The Senate Subcommittee on Legislative Branch Appropriations subsequently approved a reprogramming in an amount not to exceed $1,200,000 to provide for the design and bid preparation phase of that proposal.

At the present time, both design efforts are underway. I am prepared to brief the Committee on the progress to date of these design efforts.

The Library of Congress Renovation and Restoration of the Thomas Jefferson and John Adams Buildings is progressing well. All Milestone I work was completed in November, 1986. The major work in Milestone II, which is the Architectural, Mechanical and Electrical work, was substantially complete in December 1989. Phase II interim occupancy work is underway and will continue throughout the period when the Library of Congress is moving from the Phase II portions of the buildings to the Phase I portions. Preparatory work on Phase II Renovation (Milestone IV) is proceeding. At this point I would like to bring the Committee up to date with respect to the redesign of the colonnade forecourts. As you will recall, the redesign was requested by the Librarian of Congress, and was reviewed and approved by both Appropriations Committees. We have proceeded with the understanding, which was stipulated by the Committees, that no additional funds will be appropriated for this work, but that a transfer of monies from the Library might be considered if necessary. The design drawings are scheduled to be completed in the near future, at which time budget projections will be made. I will keep the Committees and the Librarian informed of any potential need for authority to transfer monies to cover the cost of the redesigned forecourts. Detailed reports on each project are included in our justifications.

With regard to certain delays on the restoration project, I want to assure the Committee that ongoing discussions between members of my staff and the Library of Congress have increased the level of project coordination and communication of needs on both sides. Cooperation on the interim occupancy milestone, which involves Library of Congress moves, is the most critical schedule issue, and we are working closely together on that. I intend to closely monitor the interaction of my staff, the Library, and the various project contractors to assure that no delays arise from foreseeable or preventable issues.

Mr. Chairman, that concludes my brief summary and I shall be pleased to respond to questions that you and the Committee may have.

OMB SCOREKEEPING ON JUDICIARY OFFICE BUILDING

Mr. **Fazio**. I have a number of questions, however, I am going to have to leave for awhile so I will ask Mrs. Boggs if she will chair during my absence.

Before I leave I would like to ask a question. Really, it is to express a concern. You and I had a discussion about how we might be able to construct or improve facilities on a lease-back concept without having to incur tremendous one-time costs in the appropriations process, as we have had to do for the west front restoration and the Library of Congress renovation projects.

I understand that OMB scored the financing of the Judiciary Building as if it were Federal funding. The complete cost of the project has been charged to budget authority. Construction costs will be charged to Federal outlays as they are incurred; as if this were a building being built by GSA.

I wonder how that might affect the lease ownership financing approach, which you and I thought might be a way to spread out some of the costs that have become potentially so difficult for us to absorb. OMB claims there was no consultation with them before the financing was presented in the budget documents.

I wonder if there is any middle ground you can reach. I wonder if you can discuss these financing mechanisms with them to come up with some different method of scoring.

Mr. **White**. I would be glad to do that, Mr. Chairman. As you know, our contact with the Executive Branch is only by direction. This was legislation passed by the Congress. I am talking about the Judiciary Office Building. The legislation directed me to do certain things. I was not involved in the legislative process in connection with the budgeting area. That whole issue is one of philosophical accounting.

The fact is that no government funds are spent and will not be spent until five years from now.

Mr. **Fazio**. I agree with you. I think you and I could argue our case with them. Their position seems to be, however, based on the fact if we say the full faith and credit of the United States Government stands behind this, in effect we are absorbing risk potential. We then, they think, need to account for this in a lump sum up front.

Personally, I question that rationale. But that, I think, that is their contention. There may be things we could do in reaching agreement with these holders to somehow meet the needs of OMB.

FULL FAITH AND CREDIT EXPLANATION

Mr. **White**. Just to respond to that. We are, I guess, both singing to the choir. The fact is that the full faith and credit, so-called, which is an inappropriate term found in the Constitution for other purposes, is actually not behind us.

The funding is done subject to annual appropriations. It means that if the government doesn't appropriate on an annual basis to pay the debt, there is the opportunity for the person to whom the debt is owed, or that entity, to sue the government on the basis of the fact that it is a general obligation.

But, in that sense, it differs from this concept of full faith and credit. The purchasers of the certificates that have to be repaid are told in advance it is subject to annual appropriations.

The presumption is the government won't go back on its obligation since it is occupying the space and will continue to do so. On the other hand, there is no guarantee of that. I am not sure whether that has been taken into account in the scorekeeping method or not.

We, of course, have been kept apprised of this. You know, the issue of budget and numbers in the budget is one that is very complicated, as I don't have to describe to the people on this committee.

And how one keeps score is in a certain sense a fiction in terms of cash flow, and in terms of other factors as well. The fact that it is occupying a space on Federal ground, for example, enters into this scorekeeping.

It is a very arbitrary judgment that is made.

Mr. FAZIO. Well, this committee has had lots of experience with arbitrary judgments made in scorekeeping by OMB. But, this is an area to which I wanted to alert you. I know we have been operating on the assumption that the Judiciary Building might be a model to use for other similar projects.

I would only want to get you involved to see whether or not another approach is possible. Perhaps there is a need to change the contractual arrangements with the lessors in order to satisfy any concerns these agencies might have that are legitimate.

Mr. WHITE. I will be glad to initiate discussions in order to see how that can be resolved, Mr. Chairman.

Mr. FAZIO. Mrs. Boggs, if you will take over at this point, I will try to return soon.

LEASE-PURCHASE SCORED AS U.S. OBLIGATIONS

Mr. LEWIS. While Mrs. Boggs is getting settled, George, would you make clear to me the heart of the dialogue between you and Mr. Fazio. Are you suggesting that OMB is indicating to you that there should be an accounting in terms of our budget obligations for the cost of that building?

Mr. WHITE. What OMB has said, and it wasn't aimed at the Judiciary Office Building necessarily. It was aimed also at the Archives Building that was built under these similar circumstances and at the Federal Triangle Building, which is now progressing to the stage of trying to get financing. Their position is that irrespective of the fact that there are no government funds being appropriated for the construction of the building and will not be appropriated except on an annual basis over 30 years to pay the lease; irrespective of that, they are going to count the total value of that building as though it were in the budget in the years in which it is built.

Mr. LEWIS. The reason for my probing is another subcommittee on which I serve, the HUD-Independent Agencies, considers our housing programs where there are huge categories in which we extend government guarantees for loans that are out there, people's homes, et cetera.

They use a similar line of accounting. It seems to me that the same formula could be applied to the package. If so, there is at least another trillion, maybe $3 trillion of debt somewhere if you are going to count that way.

I would suggest as you do this job opening that you might have somebody help analyze that question. Query: Are you going to follow this pattern in other areas of the budget. The answer, I would think, would end up being no.

Mr. **White**. I think this was, as the lawyers say, a case of first impression. Their conclusion has been, after internal discussion, to keep the score this way. It is interesting to note that it is described by them as scorekeeping. It is not reality.

The reality is, for example, there will be no government funds expended on the Judiciary Office Building until five years from now and two years after we occupy.

Mr. **Lewis**. I have noted in my district that the John Birch Society does account that way. I am not sure OMB wants to.

Mrs. **Boggs** [presiding]. Mr. White, would you proceed with your statement?

ANNUAL RECURRING MAINTENANCE

Mr. **White**. One percent of our increase is in new positions. Our annual recurring maintenance—you may recall we divide our program into annual recurring maintenance, cyclical maintenance and one-time expenditures. The recurring maintenance, which is, for example, painting and repairing of various physical aspects of the buildings, is 6 percent of the increase.

The bulk of that increase results from inflationary increases in the cost of materials and so on for ordinary maintenance. The largest single increase is the one I mentioned earlier, which is the payment to the District of Columbia for annual water and sewer, which is over $3 million. That comes in our annual recurring maintenance category. It is one that we have never had before.

CYCLICAL MAINTENANCE

So, it is a large increase. Cyclical maintenance, which I define as those things that are required every 10 or 20 years, like a sidewalk repair or a roof replacement, that sort of thing. Since we don't have a reserve for a replacement account or a depreciation account, like one does in the private sector, these things come as one big expenditure which we have not provided for on an annual accounting basis.

But the items nevertheless have to be recognized as maintenance which is accumulating every year such as the repair of a roof, for example. That amounts to 18 percent of the increase. It includes repairs to the steam pipe tunnels for $3 million. That is on North Carolina Avenue. It is the same request we made last year. It is coordinated with the District of Columbia's repair of the streets. It was withdrawn last year, but we need it now.

Repairing the steam lines from the Rayburn Building to the Botanic Garden. That is one where we had an eight-inch steam lines that rusted out, and we put a six-inch steam line inside of the eight-inch one. That then rusted out.

We have put a four-inch line inside of the six-inch line and that has now rusted. We are now getting down to the point where there is no more room left and no more capacity left, so we have to replace them all.

It is like those little boxes you open up with smaller and smaller boxes inside. Those are the kinds of things that make up recurring maintenance.

CONTINUING AND INITIATING OTHER PROGRAMS

The last category is continuing and initiating other programs, which total 69 percent of the increase. I have mentioned some of those in my opening remarks. The PCB transformer replacement, telecommunications funding, renovations to the House Restaurant kitchen in the Capitol, the construction of the House Publications facility, et cetera. That is where the bulk of the increase lies. That is, in that category.

WEST CENTRAL FRONT STATUS

I would like to mention briefly two other items. That is the progress being made on the west front of the Capitol. You remember there was some $25 million left over from the restoration of the west front. Some of that has been authorized to be utilized for two items.

One is the repair restoration and reconstruction of the terraces themselves, which are structurally deficient and also cosmetically deficient. Some of the stones have moved over the years, the curved wall behind the fountain on the west front is leaning out.

We are going to have to take the soil out from behind that middle terrace, straighten up the wall and replace it—this is all a restoration and replacement project, no changes will take place there. That has been authorized. Drawings are in the process of being prepared in accordance with the authorization.

In addition to that, we are moving ahead with the drawings for the in-fill of the courtways up to the terrace level. That is all in process. We have received authorization from this committee to utilize those funds.

On the Senate side, the Appropriations Subcommittee authorized us to proceed with drawings and obtain more credible construction cost estimates based on working drawings prior to their authorizing us to proceed with the expenditure of funds.

That is where that project stands. But, no funds need to be appropriated for that. The funds are remaining funds.

LIBRARY OF CONGRESS RESTORATION STATUS

The last item that I thought useful to report on is the progress being made in the Library of Congress restoration project. We are approximately halfway through the entire project. Phase one is completed. We are now in the process of the Library occupying the spaces finished in phase one, which is roughly half the building. They are now moving into those finished spaces in order to make the other half of the building available for us to proceed with the restoration.

The project is running a little behind schedule for which there are a number of intermingled reasons. But it is still within the cost estimates that we made six years ago we hope, and we will be updating those costs very soon, as the drawings become completed for phase two. We will update those cost estimates to see where we are at that time.

Our preliminary estimate is that we are very close to being within the $81 million that was appropriated. Those costs having been estimated some years ago, we think we have been very fortunate to have those still valid. We will keep the committee apprised as any changes to these occur, which we should know within the next couple of months. I am talking about reestimating.

In terms of the delay that has taken place, I should say that it is always difficult to determine how long a project will take, particularly when it is going to be six years long. So, when one measures against an initial estimate of time, there is always a tendency to say, well, we are behind schedule. The issue really is, was the original schedule a credible one to begin with?

In the case of the Library, we had a number of unforeseen circumstances such as the removal of asbestos. When one opens up the patient, one can discover a lot of unforeseen problems that need to be then resolved. They are not capable of being known ahead of time. They often are time-consuming issues.

That is a broad, overall picture of the circumstances. I will be glad to try to answer any questions.

Mrs. BOGGS. Thank you so much, Mr. White.

The chairman would like to have you answer for the record some questions about the Library of Congress renovation.

[The questions and responses follow:]

LIBRARY OF CONGRESS RENOVATION

Question. I know your statement outlines the status of the Library of Congress restoration. Are there any significant deviations from schedule or cost that you want to report?

Response. At the present time, the Library of Congress Renovation and Restoration of the Thomas Jefferson and John Adams Buildings project is approximately 24 months behind the originally scheduled completion date.

Fifteen months of this delay occurred as a result of the Milestone I (Phase 1—Interim Occupancy) work. The initial plans for the project anticipated that the majority of the required planning, design and procurement for the Milestone I work would be able to be completed prior to the actual start of construction, which was scheduled to commence in November 1984. Unfortunately, these initial plans did not work out. The process of preparing layouts for the spaces by the Library, preparing architectural and engineering drawings by the AOC based on these layouts, getting Library approval of the AOC drawings, procuring necessary materials, performing the work and then finally moving Library staff to the prepared interim space took much longer than originally anticipated. In the light of early experiences, it is deemed reasonable to say that the originally developed schedule (1983) was overly optimistic.

The remainder of the cumulative delay, nine months, is attributable to the following factors. Phase I renovation was substantially complete eleven months later than scheduled. A more complete description of the nature of these delays can be found in the following Question and Response. However, two months have been regained in the schedule due to an early start for the Phase II Interim Occupancy work. Thus, the net delay for the start of Phase II renovation is only nine months. The Phase II renovation work is still anticipated to last for 24 months.

Based on the current status of the project, the overall project completion date is scheduled for November 1992, 24 months later than the originally scheduled date.

At the present time, cost projections indicate that the project budget is within the original appropriated amounts for the original scope of the project. The colonnade forecourt redesign will affect the total estimated cost of the project. Estimates for this work will be available at the end of February 1990, and a revised total project budget will be developed at that time. If the total project budget exceeds the $81 million, the Architect of the Capitol will prepare alternatives to reduce from the scope less essential work that could be deferred. These alternatives will be proposed to the Library of Congress for their review and approval. Upon receipt of the Library's approval, the Architect will then apprise the Committees on Appropriations of any scope or cost changes.

Question. Last year, we noted that Phase I was scheduled for completion last September. I don't think you made it. What is the current schedule? What caused the delay?

Response. Phase I was substantially complete in December 1989, three months later than the scheduled completion date specified last year. Phase I was originally anticipated to last for 29 months; its actual completion time was 40 months, or eleven months longer than originally scheduled.

Due to the requirement to split the project into separate contract packages, ten separate packages were identified and subsequently developed. In effect, this caused a partial redesign effort for the project. Four separate associate architect, engineer, and scheduling consulting contracts were issued to assist the AOC staff in preparing these contract packages. This was required due to the complexity of the contract package development as well as the need to prepare the packages as soon as practicable. Additional time was thus required for the preparation of the packages, including necessary redesign, bidding process, addenda, etc. for each package.

In addition to the delays caused by separating the renovation into contract packages, delay was experienced due to the need to develop "phase lines" in order to split the work in each building in half. The analysis of the existing electrical and mechanical systems and the required modifications to them had to be reviewed and modified to allow for half of each building to remain occupied. Also, there was a need to erect barriers to separate the construction and occupied areas, while at the same time maintaining emergency egress routes for both construction and Library staff. The construction and coordination of the location of these barriers required additional changes to the contract packages.

Once the Milestone II work commenced additional problems arose. As to be expected with any restoration project, unforeseen and unknown conditions were found. For example, at one location new duct work was required to be installed behind an existing wall. Once that wall was removed, another wall was discovered behind it. This unforeseen and unknown condition required an analysis of the newly discovered wall to determine if it could be removed. Based on that analysis, a redesign of the area was necessitated. Another example of unforeseen and unknown conditions that occurred was when conduits were discovered in a ceiling. This required determining what the old conduits were for, whether they could be removed or relocated, and what would have to be done to re-route the new conduits that were to be installed where the old ones were discovered. These are just two small examples of job conditions that were experienced that caused delays in the completion of Milestone II.

Coordinating the renovation work so as to minimize disruptions to the occupants and operation of the Library also affected the progress of the construction work.

Some specific changes were requested by the Library which required additional design efforts not originally anticipated. The Library requested that the Police Alarm Center be relocated, and also requested that the Computer Center be redesigned. These areas had to be withdrawn from the contractor's work, redesigned, and then added back to the scope of the project. Delays were thus caused while this effort progressed.

Finally, the contractor experienced inefficiencies in his performance of the work. As with all renovation projects, there is a learning curve for the contractor. Workers must learn the layout of the builiding and how to get around in it. The contractor must determine by experience the most efficient means of providng and storing tools, materials and equipment. The contractor must revise staffing patterns once actual experience with the work is gained in order to meet specific needs. These factors all contributed to initial inefficiencies, which were by and large eliminated by the end of the Phase I work.

All these factors contributed to the overall delay of eleven months for the Phase I work.

Questions. What about Phase II? When will that begin?

Response. Phase II work has already begun in some interim occupancy spaces. The Phase II renovation work (Milestone IV) is scheduled to begin October 1990.

Question. The most recent scheduled completion is November 1992 (original completion was set at November 1990). Is this still the target date?

Response. November 1992 is the scheduled completion date for Milestone IV.

Question. Are you doing the colonnade revisions requested by the Library? At what cost?

Response. The colonnade revisions requested by the Librarian are in the design process. Final design is anticipated by the end of February 1990. A cost estimate of that work will be prepared at that time.

Question. Supply the original and current time and cost schedules for the record. Use the format on pages 627-628 of last year's hearings.

Response. The following information was provided for the record.

LIBRARY OF CONGRESS RENOVATION—SUMMARY OF PROJECT FUNDING

[As of December 31, 1989]

	Original allotment	Current allotment	Obligations	Unobligated balance
Administrative	$3,364,000	$5,514,000	$4,401,128	$1,112,872
Consulting	3,800,000	2,800,000	2,532,346	267,654
Milestone I	2,140,359	1,995,641	1,994,058	1,583
Miscellaneous	55,773	1,386,926	582,831	804,095
AP/MPFP E Phase I	19,365,000	20,565,000	19,975,915	589,085
A/C Modernization Phase I and II	6,809,000	6,809,000	6,602,929	206,071
Colonnades Phase I and II	6,751,000	6,901,000	6,502,613	398,387
Specialty Paint Phase I	824,000	756,620	622,216	134,404
Renovate Exterior Windows—Phase I	658,000	695,209	692,109	3,100
Interior Storm Windows—JAB Phase I and II	162,495	162,495	162,495	....
Replicate and Rehab. Lighting Fixtures Phase I	1,500,000	517,080	430,900	86,180
Art Restoration Phase I and II	1,245,000	1,245,000	692,416	552,584
Milestone III	1,129,000	1,129,000	276,869	852,131
Phase II	25,532,000	21,366,999	21,366,000	999
Balance	7,664,373	9,156,030	....	9,156,030
Total	81,000,000	81,000,000	66,834,825	14,165,175

LIBRARY OF CONGRESS UPDATE OF MILESTONE SCHEDULE—DECEMBER 31, 1989

Description	Original Start	Revised Start	Original Finish	Revised Finish
I: Phase I—Interim occupancy (including alterations to fourth floor—JAB)	11/84	[1] 09/84	06/85	[1] 11/86
II: Phase I—Construction	06/85	[1] 09/86	10/87	[1] 12/89
III: Phase II—Interim occupancy	10/87	[1] 10/89	06/88	10/90
IV: Phase II—Construction	06/88	10/90	11/90	11/92

[1] Actual.

Based on current projections, the entire project's completion will be twenty-four (24) months later than originally planned. The project's completion has been delayed as a result of the following:

1. The Phase I Interim Occupancy required more time than originally anticipated due to the need for identifying which Library of Congress (LOC) personnel would move into the interim spaces; develop a layout with the LOC personnel; develop the necessary design drawings, both architectural and engineering; obtain drawing approval by the LOC; procure necessary materials; perform the work and finally move the staff into the interim space. Due to the above, the completion of the Phase I Interim Occupancy work was delayed seventeen (17) months. However, the Phase I work was able to start in September 1986, so the overall project delay was fifteen (15) months.

2. The major reason for the slippage of the Phase I finish date was the requirement to award separate contracts for the remaining Phase I work; i.e., Colonnades, Air Conditioning Modernization, Specialty Painting, Exterior Windows—JAB and Replication and Rehabilitation of Lighting Fixtures. This process took longer than

originally anticipated, because of the need for redesign, addendums, rebids, negotiations, etc. Also, unanticipated changes during the various construction contracts, which are to be expected on a project of this magnitude, did impact the completion of Phase I. For these reasons, the completion of Phase I was delayed an additional eleven (11) months. However, the Phase II Interim Occupancy work started in October 1989, so the cumulative project delay is actually twenty-four (24) months.

3. The original schedule had allowed eight (8) months for Phase II Interim Occupancy. The LOC requires twelve (12) months to complete their work and to move the occupants. Due to the fact the Phase II Interim Occupancy work was able to start prior to the completion of Phase I, it is not anticipated, at this time, that the additional time required by the LOC (12 months versus 8 months) will have an additional project delay.

4. The current projected completion of Phase II is November 1992, which is twenty-four (24) months later than the original planned completion.

STATUE OF FREEDOM

Mr. LEWIS. Mrs. Boggs, if I could interrupt there? Could you respond to the project relative to the Statue of Freedom on the Capitol dome.

Mr. WHITE. The issue of the Statue of Freedom has been held in abeyance. We made a request to the Capitol Preservation Commission, which has funds that were made available from the sale of the Congressional coin.

We requested funds for the design work needed to proceed with that project. The Commission has not yet met, to my knowledge, nor determined how those funds should be distributed. I think it is a procedural matter that is holding that up.

The funds, as I understand it, are available and on deposit in the amount of $15 million accumulating interest each month.

Mr. LEWIS. Was your request for that amount?

Mr. WHITE. No. I would be glad to do that.

Mr. LEWIS. What did you request?

Mr. WHITE. I requested, I think, $300,000 for design work both for the removal of the Statue of Freedom and its refurbishing as well as design work for the installation of the fountains on the east plaza. There is a lead time to accurately determining what one wants to do, particularly in the case of the Statue of Freedom, which requires careful analysis.

It is in five sections, as you may know, bolted together. There has to be a careful analysis made of how we are going to pick it up and get it down without it coming apart in the process. It all can be done, but we need to be cautious about how we proceed.

Therefore, we need to spend some money for planning. Those are the monies I have asked for, and have not been responded to, as I say, largely on a procedural basis.

Mrs. BOGGS. Mr. Lewis, the Commission has not met. I can't imagine that it won't be a priority item.

Mr. LEWIS. I would think it would be, yes. It is interesting to note that there are funds accumulating in the pool as a part of that fund-raising effort.

Mrs. BOGGS. There was a major dinner last year that started the fundraising, and the surcharge proceeds from sale of the Congressional coins go into a special Capitol Preservation Fund account at the Treasury.

Mr. LEWIS. Have been very successful.

Mrs. Boggs. We are hoping to realize $22 million from those sales by the time they are concluded.

Mr. Lewis. Thank you, Mrs. Boggs.

LEGISLATIVE BRANCH TELECOMMUNICATIONS PLAN

Mrs. Boggs. You are working with the various legislative agencies to develop a plan for the Legislative Branch to use in installing new telephone, data transmission and other telecommunications facilities.

What is the status of that project?

Mr. White. We have, as you are aware, entered into a contract for wide-area or long-distance voice services with MCI. That project is well under way. A great many conversions have taken place from the old FTS to our MCI arrangement.

That is continuing at a rapid pace. The House, starting in February, will begin to see more of those conversions taking place. Funds are already being saved, of course, as the conversion occurs.

Our agreement with MCI, once all of the traffic is on the system that is, incoming traffic to Washington from the districts and from the State offices, district offices on the House side, State offices on the Senate side, once that traffic is added to the outgoing traffic, which is beginning to be added now from the House standpoint and will ultimately be the traffic of all of the agencies—let me interject.

We are including not only the House and the Senate, but this program includes all of the elements of the Legislative Branch, which means the Library of Congress, General Accounting Office, Government Printing Office, et cetera. Once all of that traffic is converted, we anticipate a savings in the neighborhood of $1 million a month from what has been spent in the past.

Our rate is something like 11.5 cents a minute as opposed to the FTS 2000 rate of something like 19.5 cents a minute. Prior to that, on the old FTS, it was hard to tell what the rate was, but it was somewhere around 35 or 40 cents a minute, because it wasn't charged on a minute-by-minute basis. When you figured out how long you used it and what the charges were, it was somewhere in that category.

So, there are dramatic savings that are going to be and have already begun to be experienced, but will increase as time goes on and the usage increases.

We are beginning conversations with regard to a common services procurement with regard to data. This present MCI contract has only to do with voice or with data that uses voice channels. We hope to have that in a position to move ahead in the relatively near future. These are short-term contracts, incidentally.

The wide-area services contract with MCI is a two-year contract, the idea being that we needed traffic information in order to do a responsible job of designing a telecommunications system. But that while we were collecting the traffic data, we could be saving some money by moving in this direction. That is what happened.

We think the same thing will be true of the data wide-area services procurement, with the ultimate goal of consolidating these to a single data voice network.

Another proposal, which is the one that the $3 million is being asked for, is to begin the process of a local area network in the Legislative Branch in order to experience the benefits that will occur there, not only in terms of cost, but in terms of functionality. That is just a brief description.

I will be glad to respond further, if you like.

Mrs. BOGGS. Could you expand for the record, by agency, of life cycle savings from this common service network?

Mr. WHITE. I will be glad to.

[The questions and responses follow:]

TELECOMMUNICATIONS

Question. How much will the communications project save? (Supply a list for the record, by agency, of life cycle savings from this common service network.)

Response. Due to the lack of exact "historical" figures for the volume of wide area telecommunciations traffic, it is difficult to "pin point" the exact cost savings anticipated. Based on known costs of the FTS and FTS 2000 systems and the Common Services Procurement (CSP) and estimate of usage, the following savings could be expected.

Estimated/Monthly Usage	Average Cost Per Minute			Monthly Savings (CSP vs. FTS 2000)
	Existing FTS	FTS 2000	CSP	
Washington "in-bound" traffic 3 million minutes/month	$0.35	$0.194	$0.115	$237,000
Washington "out-bound" traffic 5 million minutes/month	.35	.194	115	395,000
Total monthly savings				632,000

GSA has quoted an unburdened rate for FTS 2000 of 16.9 cents per minute plus an overhead charge of 15 percent which aggregates to a charge of 19.4 cents per minute.

Total annual savings anticipated for CSP over FTS 2000 is therefore, approximately $7,584,000. Had the Legislative Branch maintained its use of the existing FTS system, the savings would be substantially higher.

As a result of the CSP, detailed traffic data is now being collected as a contractual obligation of the contractor, MCI, Inc. By FY 91, an accurate life cycle cost analysis of the common services network will be completed and sent to the appropriate Congressional committees for review.

Question. Update the telecommunications cost and activity data on page 631 of last year's hearings.

Response. The following information was provided for the record.

SUMMARY OF TELECOMMUNICATIONS FUNDING AND ACTIVITY STATUS

Activity	Schedule	Funding
To provide for outside assistance and administrative support to carry out the provisions of Sec. 305 of the Legislative Branch Appropriations Act, 1987. Reprogrammed from Capitol Buildings, Installation of Additional Electronic Security Equipment, Capitol Complex, November 19, 1986.	Contract with Network Strategies, Inc. Present contract fee $375,000. Report forwarded to House Administration and Senate Rules December 18, 1987. Completed.	$375,000
For renovations in the House Office Buildings to provide space for the new telephone equipment. Reprogrammed from House Office Buildings, Catering Kitchen, House Restaurant System. Approved December 1, 1986.	Complete	427,000

SUMMARY OF TELECOMMUNICATIONS FUNDING AND ACTIVITY STATUS—Continued

Activity	Schedule	Funding
For modification to the basement and ground floor areas of the Dirksen Building to accommodate telephone switch and battery equipment. Reprogrammed from Senate Office Buildings, Replacement of Six Senate Computer Room Air Conditioning Units, 400 North Capitol Street. Approved July 17, 1986.	Complete	219,000
For telecommunications traffic analysis to collect and analyze all legislative branch long distance telecommunications needs for use in a Request for Proposals for a Common Services Procurement of wide area (long distance) telecommunications services. Approved 8/25/88.	Complete	50,000
For the development of a draft Request for Proposals for a Common Services Procurement of wide area (long distance) telecommunications services. Approved by Senate 9/30/88. Approved by House 10/13/88.	Complete	50,000
Fiscal Year 1989 appropriation for telecommunications for the Capitol Complex.	Fiscal year 1989 appropriation	500,000
For the evaluation of agency responses to the draft Request for Proposals for a Common Services Procurement of wide area (long distance) telecommunications services for the Legislative Branch, development of the final Common Services Procurement Request for Proposals, and eventual evaluation of vendor proposals. Approved by Senate 9/30/88. Approved by House 10/13/88.	Complete—Wide area telecommunication system was phased in during FY89 and FY90.	80,000 (FY 89)
For the evaluation and preliminary design of a telecommunications architecture for the Legislative Branch private integrated digital network (PIDN). Contract in progress. Approved by Senate 9/30/88. Approved by House 10/13/88.	Start in February 1989	175,000 (FY 89)
For evaluation of telecommunication switching alternatives for the Government Printing Office to satisfy local telecommunication requirements.	Complete	70,000 (FY 89)
To evaluate local (Washington/Metro Region) telecommunications traffic for the Legislative Branch for use in planning a local area telecommunications network.	Active	75,000 (FY 89)
Unallotted contingency		(3,715) (FY90)
For the continuation of the planning effort along with implementation of a CSP for wide area (long distance) telecommunications services for the House, Senate and Legislative Branch agencies as well as the engineering design and cost estimate for a Legislative Branch backup switch, associated fiber optic interconnections and peripherals. In addition, there may be staffing required to supplement the support being given this project by existing staff.	Fiscal year 1990 appropriation	75,000
For ongoing support of telecommunications activities	Fiscal year 1991 base	75,000
For the planning, acquisition and operation of the first phase of a backbone private integrated digital network (PIDN) for the House, Senate and Legislative Branch agencies with each other and selected U.S. Government and Common Carrier network nodes in the Washington metropolitan area.	Fiscal year 1991 request	3,000,000

GAO AND GPO INVOLVEMENT IN TELECOMMUNICATIONS

Mrs. **Boggs.** We understand the GAO and the GPO have been slow by coming around to this telecommunications plan. We see movement now, at least from GAO. What is the status of these two, and what is the potential for integration into the network?

Mr. **White.** There has been substantial movement on the part of both agencies. The Government Printing Office is imminently about to let a contract for conversion to a digital system with the purchase of a switch for those purposes. I gave them the approval that is required under the law for them to proceed on the basis of the proposals they have made, proposals they had made to me with the submission of proposals made to them by both AT&T and C&P.

These were proposals from the existing House contract and from the Senate contract for the new switch for GPO. That is about to take place.

GAO has just completed their statement of work for their requirements. It has been in our hands now for a week. There is a meeting before this week is over with the GAO people in order to make further progress with regard to whether or not their proposal meets our long-range plan in the Legislative Branch telecommunications system standards and requirements.

In addition to that, we are meeting on an ongoing basis with technical representatives of all the entities that form the Legislative Branch; we meet regularly in order to draw conclusions on a consensus basis as to how we should proceed. We are establishing Legislative Branch standards, wiring standards and other standards, on an ongoing basis.

All the decisions that are made with regard to this issue are done on a consolidated basis by all of the representatives of the various entities of the Legislative Branch. It is an open consensus process. It seems to be working very well.

Mrs. **Boggs.** How much is in the budget for this project?

Mr. **White.** We have asked for $3 million in this bill for us to continue.

TELECOMMUNICATIONS FUNDING SUMMARY

Mrs. **Boggs.** Have any previous funds been allocated?

Mr. **White.** There have been numerous previous funds appropriated. There was $50,000 appropriated for a particular use in 1988 and another $50,000 for a similar purpose also in 1988. Both of those have been expended. There was $500,000 appropriated in 1989, $400,000 of which was expended for telecommunications and the other $100,000 was reprogrammed with the committee's approval.

Then there was a separate $80,000 in 1989. The $400,000 that I just mentioned that was spent of that $500,000 is composed of an $80,000 item, a $175,000 item, a $70,000 item, and another $75,000 item, part of which was for consulting work and other purposes.

There was $75,000 appropriated in the fiscal year 1990 appropriation for a continuation of the planning for the wide-area common services procurement and for continuing the process.

So, we are now asking for $3 million in 1991 in addition; we are continuing that $75,000 request. Those are the funds that have been asked for up to now. They are needed for continued work to make this process viable and to finalize the process.

I think it should be carefully borne in mind that there are dramatic savings to be realized as a result of this. So, these up-front expenditures will be more than paid for as savings accumulate.

Mrs. BOGGS. You have done a fine job.

Mr. WHITE. Thank you. I might add that I sit on the Interagency Management Council of GSA for FTS 2000, so we are kept apprised—I am the only Legislative Branch representative—but we are kept apprised of progress. It is a cooperative process. We are kept apprised of what is happening in the Executive Branch with regard to their telecommunications system so that we keep coordinated and nevertheless continue the philosophy of separation of powers as needed, but coordinated so that there is government-wide coordination.

Mrs. BOGGS. Thank you. I will insert some questions into the record that were submitted by Mr. Lewis.

[The questions and responses follow:]

QUESTIONS FOR THE RECORD SUBMITTED BY MR. LEWIS

TELECOMMUNICATIONS

Question. You have established a very successful Legislative Branch Telecommunications Network team made up of the House, Senate, and Legislative Branch Agencies. What report has this group issued stating the need for this project?

Response. The Legislative Branch Telecommunications Network (LBTN) team has issued several reports which provide a solid foundation for the Legislative Branch Telecommunications Network project. The first was the "LBTN Plan" which was sent to the Committee on Appropriations in December, 1987. This plan outlined the goals and objectives for the development of the Network which included advanced functionality, inter operability, and cost saving through shared resources and appropriations. Since that time, the Architect of the Capitol on behalf of the LBTN team, has reported regularly to the committees of jurisdiction at key decision points along the path to a fully integrated digital based network. Many of the base elements of the LBTN are now in place. In addition to the LBTN Plan, major reports have been issued on the Common Services Procurement (CSP) for wide area (long distance) telecommunications services, network switching capacity and concerns, the interconnection of GAO & GPO to the LBTN and other smaller initiatives. In FY 90 the Legislative Branch Telecommunications Network team established a standards development group to develop and submit telecommunication standards in areas such as building wiring, system interconnection and operational architectures and protocols. Based on reviews and discussion among the LBTN team, these standards will be finalized and forwarded to the Committee on House Administration, and the Senate Committee on Rules and Administration.

Question. Past studies have resulted in the cost effective connection of the House, Senate, Library, GPO, and major carriers with fiber or high capacity transmission facilities. These studies showed no need for connection with other entities. What research do you have that contradicts the past studies and clearly shows a need for this project?

Response. All agencies of the Legislative Branch are interconnected through "trunking" arrangements for the purpose of voice communication. Some data communication is carried over this "mesh" network, with substantial increase in data and imaging traffic anticipated once all planned facilities are implemented through a high speed, high capacity "local backbone" called PIDN or CAPNET now under evaluation. Studies are underway to determine the level of local as well as long distance traffic to all affiliated entities and selected Executive Branch systems for analysis after which the cost effectiveness of direct access to the Legislative Branch Telecommunications Network will be determined.

Virtually every study which has been conducted by the LBTN team has shown that a private integrated digital network will not only enhance the functionality of communications access to information, and increase productivity, but will also reduce costs. Once implemented CAPNET will help eliminate "access charges" currently paid tc access the MCI and other networks thus reducing further telecommunication costs.

Question. What documentation do you have showing the project "will ultimately accrue significant savings?"

Response. The Legislative Branch Telecommunications Plan clearly documents potential savings for a Legislative Branch wide "shared" telecommunications network. The science and applications of advanced telecommunications systems are changing rapidly with technological advances driving costs down and functionality, availability and productivity up. In general terms, a major revolution is taking place in the field of information management through advanced telecommunications. Though the issue of costs savings is relative, the real question is whether the Legislative Branch of government, and government in general, is going to be prepared to interact effectively in the future. The costs of transporting goods dropped dramatically when the uniform standard rail system was developed, but the rails had to be laid first. This analogy holds true for telecommunications systems today. Telecommunications systems are moving from analog transmissions i.e., horse and buggy, to a transport medium powered by the forces of light i.e., high speed rail.

Costs as compared to existing systems will be greatly reduced as has been demonstrated by current system advances. This may not be true in real terms as the Legislative Branch system is developed. Overall costs will most certainly increase as usage increases but the incremental costs, or costs per unit of information transferred, will be dramatically reduced.

Mrs. BOGGS. The questions about the East Plaza improvements, I will ask you to answer for the record. I would like to make one comment, however. The fountains to which you refer were given to the Capitol, and it was envisioned they would be used on the East Plaza. They were given to Mrs. Johnson for the Capitol in recognition of Lady Bird's work in beautification around the Nation and in the capital city.

The Capitol Preservation Commission does hope to be able to place those fountains on the East Plaza.

I will ask you to supply answers for the record.

[The questions and responses follows:]

EAST PLAZA IMPROVEMENTS

Question. Is there any request for the East Plaza in this budget?

Response. There are no funds requested by the Architect of the Capitol in the fiscal year 1991 budget for the East Plaza.

Question. Since we have removed parking, what plans do you have for the plaza?

Response. In September 1989 the Architect submitted a proposal for the allocation of $250,000 of the funds available to the U.S. Capitol Preservation Commission for design of improvements to the East Plaza, including the installation of two fountains that have been donated for use on the East Plaza, as well as using $50,000 for design of restoring the Statue of Freedom. Since the Commission has not yet met, no further action on this matter has been taken.

Once the Commission determines whether or not these proposals should proceed, both the House and Senate Subcommittees on Legislative Branch Appropriations will be apprised of the status of the proposals and their design. Once design has been accomplished, the Commission and the Legislative Branch Subcommittees on Appropriations will be apprised of the estimates for the projects, and a request will be made for their approval for funds to proceed with that work.

A copy of the letter is provided for the record.

Washington, D.C. 20515

September 29, 1989

Mrs. Heather Foley
Office of the Speaker
U. S. House of Representatives
Washington, D. C. 20515

Dear Heather:

In furtherance of our conversation regarding the use of Preservation Commission funds to begin the design process both for the proposed improvements to the East Plaza and the restoration of the Statue of Freedom, I have prepared the following estimate:

Statue Design Investigation	$50,000
East Plaza Design	250,000
	$300,000

These are, of course, preliminary estimates, but in my considered judgment should be sufficient to enable us to determine credible cost estimates for the actual construction and restoration.

If these funds could be made available, considerable progress could be made during the next few months, thus enabling future judgments regarding additional expenditures to be made on a timely basis.

I shall, as always, be pleased to furnish additional information or discuss the issues further.

Cordially,

George M. White, FAIA
Architect of the Capitol

Question. The Preservation Commission is not planning anything are they? I believe their activities are confined to "arts" and "antiquities."

Response. As noted in the response to the previous question, the use of funds available to the U.S. Capitol Preservation Commission is not limited to just "arts" and "antiquities." However, any proposed expenditure of funds other than for arts and antiquities is required to be approved by the House and Senate Committees on Appropriations. Any use of the funds available to the Commission must have its approval, such as in the case of the East Plaza improvements.

FIRE SAFETY

Question. We all remember the unfortunate fire in the Longworth Building. What progress can you report on fire safety arrangements?

Response. The following report is provided for the record.

January 18, 1990

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS

Capitol Building

Installation of Smoke Detection and Voice Alarm Systems $400,000.00

The project will provide for the installation of a building wide smoke detection and manual pull station system that is connected to a central alarm point. In addition, a voice annunciated alarm system will be provided, which will offer a means of communicating with all building occupants in the event of a fire or other emergency. The smoke detectors will be connected to the elevator fire service recall systems.

FY 1988 Appropriation	$200,000
FY 1989 Appropriation	$200,000

Estimated completion second quarter fiscal year 1991.

A temporary fire alarm system has been designed, procured and is being installed at this time. This system will use existing air handling unit smoke detectors and new manual pull stations to activate a building wide speaker alarm system. Installation is being performed by in house maintenance forces and is scheduled for completion by March 1990.

Fire Service Modifications to Building Elevators........$158,000.00

The project provided for the installation of fire service recall on twelve elevators in the Capitol Building. This system is now completed and will be interconnected to the building wide smoke detection system for automatic elevator recall upon detection of smoke in an elevator lobby.

House Office Buildings

Fire Protection Improvements..........................$465,000.00

This project provided for the installation of automatic sprinkler and/or smoke detection systems in selected areas. Systems were installed primarily in storage areas and included the attics of the Longworth and Rayburn Buildings, kitchen areas of the Longworth, Rayburn and Cannon buildings, and the subbasements of the Rayburn and Longworth Buildings. This project also upgraded emergency lighting and exit signage.

FY 1978 Appropriation	$225,000
FY 1979 Appropriation	$170,000
FY 1981 Appropriation	$70,000

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS
(continued)

Cannon Building

Installation of Smoke Detection and Voice Fire Alarm....$350,000.00

This project will provide for the installation of building wide smoke detection and manual fire alarm stations that are connected to a central fire alarm control panel. In addition, a voice annunciated alarm system will be provided, which will offer a means of communicating with all building occupants in the event of a fire or other emergency. The elevator fire service recall system will be interconnected to the elevator lobby smoke detectors.

FY 1988 Appropriation	$175,000
FY 1989 Appropriation	$175,000

Estimated completion third quarter fiscal year 1991.

A temporary fire alarm system has been designed and installed on all levels of the building. Corridor smoke detectors, fire alarm speakers and manual fire stations have been installed and are operational on all floors of the building.

Longworth Building

Electrical and Fire Protection Improvements..........$18,500,000.00

Fire safety improvements in this project include the installation of automatic sprinklers and smoke detectors throughout, a central fire alarm with voice annunciating fire alarm speakers and lighted exit signage in all exit corridors. This project is approximately 75% complete, with the basement, central control and individual office suites remaining to be done.

A temporary fire alarm system has been designed, installed and made operational. This system consists of manual fire alarm stations, smoke detectors and fire alarm speakers on all floors of the building.

Rayburn Building

Installation of Smoke Detection and Voice Fire Alarm....$800,000.00

The project will provide for the installation of building wide smoke detectors and new manual fire alarm stations connected to a central fire alarm control panel. In addition, a voice annunciated alarm system will be provided which will offer a means of communicating with all building occupants in the event of a fire or other emergency. The elevator fire service recall system will be interconnected to the elevator lobby smoke detectors.

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS
(continued)

Rayburn Building
(continued)

FY 1988 Appropriation	$200,000
FY 1989 Appropriation	$200,000
FY 1990 Appropriation	$400,000

Estimated completion second quarter fiscal year 1991.

Fire Service Modifications to Building Elevators........$268,000.00

This project provide for the installation of fire service recall on all elevators requiring it in the Rayburn Building. This project is now complete, manually functional and will be connected to the elevator lobby smoke detectors as they are installed.

Fire Protection Improvements, HIS Computer Room..........$32,500.00

This project provided the installation of a smoke detector activated, Halon fire suppression system in the HIS computer room. This system is operational.

House Office Building Annex No.1

Fire Protection Improvements...........................$130,000.00

Under this project automatic sprinkler systems were installed in the basement and corridor areas of the building and a smoke detection and voice fire alarm system was installed throughout the building. Funds were appropriated in fiscal year 1979 and the project is complete.

House Office Building Annex No.2

Alteration to HOBA #2................................$27,000,000.00

During the alterations to the building, a complete automatic sprinkler system and a temporary fire alarm and smoke detection system were installed. A new building wide smoke detection and voice fire alarm system has been designed and is being procured at this time for installation by in house maintenance forces.

Fire Protection Improvements, HIS Computer Room..........$48,000.00

In fiscal year 1981, a smoke detector activated Halon fire suppression system was installed under this project and has been expanded to include additional computer space.

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS
(continued)

501 First Street, S.E.

Renovations and Alterations to 501 First Street, S.E....$500,000.00

Included in this project was the installation of automatic sprinkler, smoke detection and fire alarm systems throughout the entire building.

This project is complete.

Capitol Power Plant

Installation of Halon Fire Suppression System in Electronic Engineering Division, Computer Room..................$17,000.00

This project is complete.

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS

Russell and Dirksen Buildings

Installation of Fire and Smoke Detection Systems in the Russell and Dirksen................................$800,000.00

This project provides for the installation of fire and smoke detection systems in both buildings. Additional funding was allowed for the inclusion of voice fire alarm systems in the 1988 Legislative Branch Appropriations Act. Design is complete with procurement of the control systems and fire alarm speakers being done under competitive bidding.

Capitol Police Headquarters Building

Renovation to Capitol Police Headquarters Building....$5,800,000.00

This project included the installation of complete automatic sprinkler, standpipe, smoke detection and voice fire alarm systems. The automatic sprinkler, standpipe and fire alarm conduit systems are installed. The fire alarm and smoke detection wiring and devices are being done at this time.

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS

Jefferson and Adams Buildings

Restoration of the Jefferson and Adams Buildings......$5,250,000.00

Included in this project, which was first appropriated in fiscal year 1982, was the installation of automatic sprinkler systems in the bookstacks of both the Jefferson and Adams Buildings. These systems are operational and are being modified at this time to provide for the supervisory monitoring of the systems through the newly installed central fire alarm control panel.

Renovation and Restoration of the Jefferson and Adams Buildings...................................$81,000,000.00

Included in this project, which was appropriated in fiscal year 1984, is the installation of automatic sprinkler systems in the remaining areas of the buildings and the installation of a new smoke detection and voice fire alarm system throughout both buildings. Acceptance testing of the first phase automatic sprinkler and fire alarm systems is currently underway.

RECENT AND CURRENT FIRE SYSTEM IMPROVEMENTS

Supreme Court

Install Fire Protection System, Storage and Other Areas	$200,000.00

This project, which was appropriated in fiscal year 1976, provided for the installation of automatic sprinkler systems in the garage, basement storage rooms, shops and other storerooms. A Halon fire suppression system was also installed in the telephone switch room. These systems are operational. The project also provided for the replacement of the manual fire alarm system with smoke detection and voice alarm systems. The library portion of the smoke detection system has been installed and temporarily connected to the existing fire alarm control panel. The remaining equipment has been designed and is being procured under competitive bidding at this time. These systems will be installed using in house maintenance forces.

January 18, 1990

STATUS REPORT - FIRE PROTECTION PROJECTS

82011	Supreme Court	Building wide smoke detection and alarm system - replace existing. Design complete. Materials being procured through the competitive bid process. Library bookstack smoke detection installed and operating through a temporary fire alarm control panel.
86057	Capitol Building	Building wide smoke detection and voice fire alarm system - under active Program Assessment Review. A temporary fire alarm system using existing air handling unit smoke detectors and new manual alarm stations has been designed and procured. Installation is actively underway at this time.
84158	Capitol Building	Fire service for twelve elevators - smoke detection and fire recall to be provided by the new smoke detection system.
83011	DSOB & RSOB	Building wide smoke detection and voice alarm system - smoke detectors and power supplies on hand. Control equipment being procured through the competitive bid process.
82136	HSOB	Smoke control system - controllers, relays, wiring and central processor program update complete. Final air handling unit connections being done at this time.
84126	USCP Headquarters	Building wide smoke detection and voice fire alarm system - design and procurement complete, installation in progress at this time.
87309	Plaza Building	Fire tests, National Institute of Standards and Technology - project complete, building razed.
86067	CHOB	Building wide smoke detection and voice fire alarm system - under active design and Program Assessment Review. Temporary smoke detection and alarm system installed and on-line.

83015	LHOB	Electrical & fire protection improvements, all floors - design and installation is on-going. Includes smoke detection, voice fire alarm and automatic sprinkler systems. Temporary fire alarm system with smoke detectors, manual alarm stations and alarm speakers is installed and operational.
84152	RHOB	Fire service for twenty-eight elevators - control work complete, fire alarm logic to be derived from the building wide smoke detection system control panel.
86066	RHOB	Building wide smoke detection and voice fire alarm system - under active design and Program Assessment Review. Associate design engineers are assisting with this design effort.
82255	HOBA-2	Building wide smoke detection, voice fire alarm and smoke control systems - Design complete, procurement being done through the competitive bid process.
84240	LOC Renovation	Rare Book bookstack smoke detection and fire suppression systems upgrade - design complete, installation to begin immediately.

October 19, 1989

This is a report on the status of fire protection improvements in the House and Senate Office Buildings as required under Section 106 of the Legislative Branch Appropriations Act, 1989. Temporary building-wide alarm systems have been provided, where necessary, until permanent systems can be designed and installed.

Temporary fire alarm systems have been installed in the Longworth and Cannon House Office Buildings. A fire protection engineering design firm has been retained to assist in the design and procurement of the permanent smoke detection and alarm system for the Cannon House Office Building. The Longworth House Office Building smoke detection and alarm system has been designed by our in-house Fire Protection Engineering Division and is being procured for installation during the Electrical and Fire Protection Improvement project that is actively underway.

A temporary fire alarm system for the Capitol Building has been designed and procured. This system is being installed using in-house maintenance forces and is scheduled to be made operational by November, 1989. The permanent smoke detection and alarm system will be designed by the same fire protection engineering firm that is designing the Cannon House Office Building system.

The Russell and Dirksen Senate Office Buildings are presently equipped with fire alarm systems. Smoke detection systems have been designed for both buildings and are being procured for installation by in-house forces. Additional funding was allowed in the last Appropriations bill to provide voice fire alarm systems in the Russell and Dirksen Office Buildings. These systems are being integrated into and will be installed with the building-wide smoke detection systems. These smoke detection and voice alarm systems will be installed and made operational by the last quarter of 1990.

Upon completion of the current projects, all House and Senate Office Buildings, the Capitol Building, and their occupants will be protected by early warning smoke detectors and voice fire alarm systems.

Question. Are there fire safety funds in this budget? (How much and for what?)
Response. There are no funds requested by the Architect of the Capitol in the fiscal year 1991 budget for fire safety projects.

PRIORITIZATION OF NEW POSITION REQUESTS

Mrs. Boggs. Let's proceed to salaries and Office of the Architect. Would you like to ask some questions, Mr. Myers?

Mr. Myers. Please proceed.

Mrs. Boggs. Under salaries, Office of the Architect, you are requesting $7,958,000, and 164 positions for 1991. You are requesting 16 new positions. Aside from the mandatory increases, the increase is just for the new positions. We have the details on these positions. If you were able to fill two or three positions, which would be the highest priority?

Mr. White. Well, that is a difficult question. That is like saying, which one of your children do you want sacrificed? As I am sure you are aware, because it happens on almost an annual basis, we don't make these personnel requests without a lot of careful internal consideration as to the need.

Now, obviously, we make do with whatever the Congress gives us. The issue is can we do a proper job of serving the Congressional needs with what we are given? So, I would have to think about that. If you were to say instead of 16 positions, we were only going to get eight, I would have to think about that as to which would be the highest priority.

Let me say that as I mentioned earlier, the bulk of these requested posts have to do with our needs to service employee needs. There are people requested for our Human Resources Division and in our Safety Engineering Division, which involves hazardous materials and waste management and safety specialists to take care of the needs involved in the kinds of activities in which our employees are engaged.

As you know, we employ many construction-type people and maintenance people, and they are engaged in activities where safety is very important. Machinery and proper repair of that sort of thing is a dire need in terms of safety.

I would have to, if I may, respond for the record as to where my priorities would lie. We could probably find a way.

Mrs. Boggs. I think that would be very good to do.

Mrs. Boggs. Obviously, if you don't select the priorities, the committees will select them for you.

Mr. White. I will be glad to submit that. I will put all 16 of them on a priority basis and hope you will go as far down as you can.

TRAVEL AND CONTINGENT EXPENSES

Mrs. Boggs. At this point, I will place some questions in the record on travel expenses, contingent expenses and Capitol Buildings, including warehouse rental.

[The questions and responses follow:]

Salaries, Office of the Architect

Question. Aside from the mandatory increases, the increase is just for the positions. We have the details on these positions. If you were only able to fill 2 or 3 positions, which would be the highest priority?

Response. Positions by priority:
GS-12 Safety Specialist—Hazardous Material Management
GS-12 Staffing Specialist
GS-12 Employee Development Specialist
GS-13 Supervisory Computer Specialist (MIS)
GS-12 Safety Specialist (Manager)
GS-12 Incentive Awards Program Administrator
GS-12 Computer Specialist (MIS)
GS-11 Safety Specialist
GS-12 Workers' Compensation Program Specialist
GS-7 Incentive Awards Program Assistant
GS-6 Computer Operator (Day shift)
GS-6 Computer Operator (Night shift)
GS-7 Secretary (MIS)
GS-6 Clerk-Typist (A/C Engineering Division)
GS-12 Computer Specialist (MIS)
GS-7 Computer Assistant

LIMITATION ON TRAVEL EXPENSES

Question. You are requesting the limitation on travel to remain at $20,000. Detail your actual travel expenditures for 1989 and 1990 to date.

Response. The following information was provided for the record.

[CLERK'S NOTE.—The detail on travel for the Architect of the Capitol will be held in Committee files for a short period of time. A summary is included for the record.]

OFFICE OF THE ARCHITECT OF THE CAPITOL

TRAVEL

(FROM OCTOBER 1, 1988 THRU SEPTEMBER 30, 1989)

APPROPRIATION	LIMITATION	EXPENDED
Capitol Buildings, 1989	$	$ 7,644.06
Capitol Grounds, 1989		1,220.84
West Central Front of the Capitol, No Year		176.45
Senate Office Buildings, 1989		1,645.12
House Office Buildings, 1989		259.41
Capitol Power Plant, 1989		245.80
Modifications and Enlargement, Capitol Power Plant, No Year		16.45
Structural and Mechanical Care, Library Buildings & Grounds, 1989		608.79
Structural and Mechanical Care, Library Buildings & Grounds, No Year		597.70
Judiciary Office Building, Development and Operations Fund		337.35
	$ 20,000	$ 12,751.97

(FROM OCTOBER 1, 1989 THRU DECEMBER 31, 1989

Capitol Buildings, 1990	$	$ 1,791.46
House Office Buildings, 1990		38.64
Capitol Power Plant, 1990		31.68
Structural and Mechanical Care, Library Buildings & Grounds, 1990		18.72
Judiciary Office Building, Development and Operations Fund		530.73
	$ 20,000	$ 2,411.23

CONTINGENT EXPENSES

Question: The request for contingent expenses is $100,000. These are carryover funds. How much did you carry into FY 1990?

Response: As of September 30, 1989, $103,432 in prior year "No Year" funds remained available for obligation during fiscal year 1990. Of these funds remaining available for obligation, a total of $2,100 has been allotted for specific projects but not yet obligated. This leaves a balance of $101,332 available for new projects as of September 30, 1989 for carrying forward into fiscal year 1990.

Question: Provide the usual table for the record, detailing the expenditures and carryover data.

Response: Of the $154,451 available during fiscal year 1989, $51,019 was obligated and $2,100 was allotted but not yet obligated as follows:

	Obligations	Funds Allotted but not yet Obligated
Contingent Expenses		
Radio-TV Terminal Facility, Capitol Building	$ 1,833	.....
Telephone Equipment Room	(935) 1/	.....
Alterations to Capitol Building, H-206	(699) 1/	.....
U.S. Capitol Cornerstone Location	.....	$ 2,100
Study of Alternative to Current Use of the East Front of the Capitol for Deliveries and Disposals	24,300	.....
Restriping of Existing Senate Parking Facilities	21,470	.....
Photographic Rendering of East Front Fountains	2,200	.....
Tests for Radon, Capitol Complex	1,700	.....
Lease Renewal Appraisal Fee, 1430 S. Capitol Street	1,150	.....
Total	$ 51,019	$ 2,100

As of September 30, 1989, $103,432 in prior year "No Year" funds remained available for obligation during fiscal year 1990. Of these funds remaining available for obligation, a total of $2,100 has been allotted for specific projects but has not yet been obligated. This leaves a balance of only $101,332 for new projects as of September 30, 1989. This amount has been augmented by the $100,000 allowed for fiscal year 1990. Thus there is a total of approximately $201,332 available for unforeseen expenses and surveys and studies in fiscal year 1990.

1/ Represents deobligation of prior year obligation.

CAPITOL BUILDINGS

Question. The request for Capitol Buildings totals $35.7 million ($35,728,000) and 211 positions for 1991. No new positions. Last year we allowed 7 additional night laborers. How have they been assigned?

Response. All seven positions that were approved in fiscal year 1990 for the night cleaning force have been filled.

The six laborer cleaning positions and night labor leader position have been assigned to cleaning the floors and stairways that are under the custodial jurisdiction of the Architect of the Capitol. This seven man crew has been trained by technicial representitives of the floor care products and equipment vendors that are in use on the floor systems.

ALLOCATION OF WAREHOUSE SPACE

Mrs. BOGGS. Have you begun to occupy the Star Building yet? Who is authorizing the move?

Mr. WHITE. Yes. That is part of the House Office Buildings, and so that comes under the House Office Building Commission, which also means under the Speaker in the sense that he is the Chairman of the House Office Building Commission. We have begun to occupy. One floor has been occupied by the Doorkeeper, whose documents, as you may have read, were in the corridors because of no place to put them.

So, fortuitously we were able to move them over there; that space became available as a result of the appropriations provided by this committee to enable us to do that. We are now preparing for the movement of furniture over there as well, which is presently stored in Annex No. 2, and some in the Cannon Building. The furniture comes under the Clerk.

[The question and response follow:]

LEASING OF WAREHOUSE SPACE

Question. The increase in annual maintenance is $811 thousand. Of this, $441 thousand is for warehouse space. Where are the warehouses located, and how are they utilized?

Response. The Architect of the Capitol leases 72,287 square feet of space @ $5.75 per square foot (excluding utility costs) from Guest Services, Inc. for warehouse space located at 1430 South Capitol Street, S.E. The space is presently allocated as indicated below.

Space Allocation	*Area sq. ft.*
Superintendent, Senate Office Buildings	30,875
Superintendent, House Office Buildings	4,795
Doorkeeper of the House [1]	9,834
Construction Division [2]	10,340
Supervising Engineer, Capitol Building [3]	3,890
Clerk of the House [4]	3,190
Loading Dock (Off Site Delivery Center)	6,700

Space Allocation	*Area sq. ft.*
Capitol Police	1,027
Circulation	1,636
Total	72,287

[1] The materials being stored in this space will be moved to the Star Building space presently being used by the Doorkeeper for printed materials being stored there until October 1990. Following the clearance of this space, it will be reassigned to the Superintendent of the Senate Office Buildings.

[2] This space is being considered for removal to a storage site located at the new Botanic Garden Growing Facility. If such a move is made the space at this warehouse will then be reassigned to the Superintendent of the Senate Office Buildings.

[3] The space allocated to the Supervising Engineer of the Capitol will be transferred to the Star Building and consolidated with other space to be assigned to him so that this space may be made available to the Supervising Engineer of the Supreme Court.

[4] It is planned to relocate the items stored in this space to the new Star Building warehouse and reassign 1,110 square feet of this space to the Supervising Engineer, Supreme Court, and 2,080 square feet of this space to the Superintendent, Senate Office Buildings.

The Architect of the Capitol also leases 44,860 square feet of space @ $4.00 per square foot (excluding utility costs) from the Washington Post for warehouse space located at 120 Canal Street, S.E. The space is tentatively scheduled to be allocated as indicated below.

Current space allocation	*Area sq. ft.*
Doorkeeper [1]	11,215
Clerk of the House [2]	
Replacement space for 1430 South Capitol Street	3,500
New storage space (one floor)	11,215
Replacement space for HOBA #2	9,308
Total	24,023
Supervising Engineer, Capitol Building	9,622
Grand total	44,860

[1] This space was requested to be assigned on a temporary basis from January 1990 through October 1990 by the Doorkeeper to make room for printed materials. After this space is vacated, it will be reassigned to make room for the materials stored at 1430 South Capitol Street by the Doorkeeper, thus making that space available for the Superintendent of the Senate Office Buildings.

[2] This includes the materials that will be transferred from space assigned to the Clerk of the House at 1430 South Capitol Street to make such space available to the Superintendent of the Senate Office Buildings, one new floor for the Clerk, replacement space associated with the proposed relocation of the House Document Room, and replacement space for HOBA #2 storage, which will be moved to make space available for AOC functions now located in the Capitol Building.

The following summary indicates the proposed warehousing plan after all the space reassignments are completed in October 1990. This proposed plan would make the majority of the space in the warehouse located at 1430 South Capitol Street available to the Superintendent of the Senate Office Buildings, who would be responsible for its care, and the majority of the space in the Star Building warehouse available to the House of Representatives, and the Superintendent of the House Office Buildings would be responsible for its care.

Proposed space allocation, 1430 South Capitol Street	*Area sq. ft.*
Superintendent, Senate Office Buildings	53,129
Superintendent, House Office Buildings	4,795
Supervising Engineer, Supreme Court	5,000
Loading Dock (Off Site Delivery Center)	6,700
Capitol Police	1,027
Circulation	1,636
Total	72,287

Proposed space allocation, Star Building	*Area sq. ft.*
Doorkeeper	11,215
Clerk of the House	24,023

Proposed space allocation, Star Building	*Area sq. ft.*
Supervising Engineer, Capitol Building	9,622
Total	44,860

OFFICE WASTE RECYCLING PROGRAM

Mrs. Boggs. There is $50,000 for waste recycling in your request. Will this be an annual cost projection? What are these funds for?

Mr. White. We are not sure. We have asked for that because there is some cost associated with this pilot program. It costs $5 for the little cardboard device that is on people's desks. Most of it is being done in-house.

But a device like this, for example, which rests on people's desks is so that the paper can easily be divided into good paper and paper that isn't so good in terms of its value in recycling.

This costs $5. Well, if you buy enough of them, it adds up to a lot of money. The same thing is true of other aspects of it. I didn't bring——

Mr. Myers. That box costs $5?

Mr. White. Yes, that is my understanding. Well, it is nice cardboard. It is all printed as you can see. You have to furnish containers to be used for separating white bond paper from copy paper. You have to have directions printed on it. My recollection is it is worth about $5.

In any event, the predicted savings in the sense of increased value for the recycled material is in the order of magnitude of a quarter million dollars. That is the amount we might get returned to us. This is all to be developed as part of this pilot program.

Presumably, if those kinds of funds do become available, this committee could authorize us to recycle the money, as well as the other products, by our collecting that money and using it for the expenses associated with the recycling so that we could perhaps not expend appropriated funds annually, but end up with self supported recycling, which has another purpose entirely.

That is to say, savings for society in general through the recycling process. We are not in a position yet to say whether there will be annual appropriations required. We hope not. We need them now in order to continue in a proper fashion with the pilot program, which is to last until next October as a one-year program.

Mrs. Boggs. This is something every new municipality and every big office building and every association is confronted with.

Mr. White. This only involves paper at this point. We are recycling plastics and metals and many other products.

CONSERVATION OF WALL PAINTINGS

Mrs. Boggs. Under the cyclical maintenance, you request $180,000 for conservation of wall paintings in the Speaker's lobby. That is a substantial amount. Why is it so large?

Mr. White. I guess the answer to that is that there is a lot to be done. We have taken cost estimates from decorative painters. This is not restoration in the sense of conservation of paintings. This is decorative painting, which is really less costly, but there is a lot of it to be done. That is our best guess. We will try and get some other bids to minimize that cost. That is our best guess at the moment.

Mrs. Boggs. When was it last done?

Mr. **White**. My recollection is it has been 25 years or so since something was done in there. It hasn't been done since I have been here.

Dr. **Wolanin**. The last major time was 1903, when it was painted. It has been touched up since then, as far as we know.

Mrs. **Boggs**. Do you have any idea how long it will take to complete?

Dr. **Wolanin**. We were planning to try and break it up and do it during recesses.

Mr. **White**. We would have to do it in recesses, so it might be spread over a long period of time. The actual process itself is probably a year's worth of work being done from time to time.

Dr. **Wolanin**. I think it might be a couple of months if they get a lot of people working at once. That was the idea.

Mr. **White**. In any event, our effort will be to perform the work when the Congress is not in session.

CLOAKROOM FOOD SERVICE AREA RENOVATION

Mrs. **Boggs**. We have a $32,000 request for renovation of food service areas in the cloakrooms. Can you outline that project?

Mr. **White**. Yes, that is a request that I am making at the request of the Doorkeeper who operates those food service facilities. It is a request for new counters and new cabinets and new refrigerators and redesign in order to refurbish and make the food appear more palatable.

Mrs. **Boggs**. Good luck.

I will place some questions in the record on plumbing renovations and hazardous waste proposal programs and so on, you can submit those answers for the record, please.

[The questions and responses follow:]

CYCLICAL MAINTENANCE

Question. There is $272 thousand to design plumbing renovations in the Capitol. What kind of renovations are necessary?

Response. Funds were appropriated in fiscal year 1989 for the systems analysis and preliminary design of plumbing renovations in the Capitol, Russell and Cannon Buildings. This phase is now complete. The initial survey identified portions of the Capitol Building plumbing system that require replacement. Funds are now requested to perform the final design of these renovations in the Capitol Building.

Due to the age of various piping systems within the Capitol Building, piping failures are occurring with increasing frequency. These failures require a disruption of building services that are both costly and time consuming. It is therefore necessary to begin a two year program of replacement of various plumbing systems as described in the recently completed consultant study. When existing deteriorated sections of systems are replaced with state of the art materials it should greatly reduce the amount of emergency repairs, thereby allowing greater concentration of manpower on preventive maintenance efforts.

Upon completion of the project the building will have copper or brass pipe for the domestic hot, domestic cold and drinking water systems. The sanitary systems will be primarily copper above ground connected to existing cast iron below ground. The anticipated lifetime for these systems is at least 25 more years for existing copper or brass, 50 years for new copper and 50 years for existing cast iron.

The design and specification preparation for this work will be performed under contract over a period of one year at a cost of $272,000. Construction funds will be requested in fiscal year 1992.

Question. What is the projected cost of the renovation project? What is the duration?

Response. Based on the systems analysis and preliminary design of the plumbing systems that was performed on the Capitol Building, the estimated base construction cost of renovating the plumbing system is $2,722,000. This estimate does not include escalation or construction management. A better estimate, as well as a schedule, will be available following design, funds for which are requested in the fiscal year 1991 budget.

Question. When will that budget request be made?

Response. Construction funds will be requested for fiscal year 1992.

Question. You are requesting $350 thousand for a hazardous waste disposal program. What hazardous wastes have accumulated in the Capitol?

Response. A current listing of hazardous wastes stored at the Capitol Power Plant's coal yard follows:

BREAKDOWN ON HAZARDOUS WASTE ON-HAND AT THE U.S. POWER PLANT, COAL YARD AS OF JAN. 29, 1990 [1]

Number	Type of containers	Waste description
69	55 gallon drums	Oil products
11	35 gallon drums	Oil products
3	55 gallon drums	Refrigerants
4	55 gallon drums	Gear oil
2	55 gallon drums	Contaminated fuel oil
13	55 gallon drums	Paint products—Liquids
3	55 gallon drums	Paint products—Solids
42	5 gallon pails	Obsolete lead and oil-based paints
3	25 gallon drums	Spent grease
52	55 gallon drums	Unknowns
68	55 gallon drums	Empties—those dried-out drums that at one time contained some unknown material(s), and therefore, have become unacceptable at the Lorton Landfill without laboratory certification as to their content
11	55 gallon drums	Residues—those drums that contain a residue of some unknown material(s), and therefore, are unacceptable at the Lorton Landfill without laboratory certification as to their content.
60	Batteries	Lead antimony acid type
12	Batteries	Large, truck type

[1] More of the same kinds, amounts and mixes of hazardous waste can be expected to accumulate prior to the start of disposal activities.

In addition, it can be anticipated that additional materials will be added to the stockpile prior to the commencement of this requested activity for fiscal year 1991.

These materials have been accumulating over the years and must be disposed of properly in accordance with EPA requirements.

It is believed that once efficient hazardous waste policies and programs are developed and implemented, it will take approximately two to three years for waste stream patterns to develop. Once patterns evolve, costs will be much easier to track and predict. Tightening regulations and constantly changing treatment and disposal costs may, however, negatively affect the predictability of costs. The stockpiled wastes should be removed quickly and efficiently in order to meet the requirements of Federal and District law, to assure that the waste containers remain in good physical condition and are capable of also being used as transportation containers, and to avoid further price increases or regulatory complications.

The evolution of waste stream patterns will also, in all likelihood, establish this organization as a Small Quantity Generator in accordance with the appropriate sections of the Resource Conservation and Recovery Act (RCRA) and the subsequent Hazardous and Solid Waste Amendments. These laws are administered by the EPA. By striving to maintain ourselves as a Small Quantity Generator; we should be able to remain, for all practical purposes, self-regulated.

The estimated costs of the disposal activity are high due to the following reasons. The numbers and costs of labels, protective suits, gloves, drums, pails, pumps, and other packaging and handling equipment can not be accurately estimated until the stockpiled materials begin to undergo processing; and in some cases, not until the storage containers are moved and their stability judged. Labor costs can not be accurately estimated until work actually begins. This situation can be further complicated if any of the containers rupture, or any other unusual labor- or machinery-intensive activities are needed to mitigate dangerous situations prior to shipment. Transportation costs can not be accurately estimated as regulations change and certain landfills, or waste processes, become unavailable. These changes can result in longer or more complicated transportation efforts, and resultant cost increases. The uncertainties that can occur during the long chain of events that must take place between packing for shipment and final disposition can cause disposal costs to be high.

Question. Do you have a program to keep this hazardous inventory from growing?

Response. Funds are requested in fiscal year 1991 for additional staffing and operation of a comprehensive hazardous waste management program for the Capitol Complex. In the past, individual shops and work sites made their own arrangmeents for hazardous waste disposal. The complexity of hazardous waste management mandated by the regulatory atmosphere requires that a comprehensive and coordinated management approach be taken to respond to prevent the backlog of hazardous wastes from growing.

Question. Outline the proposed disposal program. How long will it take? At what total cost?

Response. The proposed one time disposal program consists of two steps. The first step is to identify and quantify the types of waste in the storage drums. This procedure is required by EPA waste disposal regulations. Once the types of waste are known, then qualified disposal contractors can be retained to properly dispose of the waste. In addition, once the types of hazardous waste are identified and a contractor is retained, a schedule can be developed. This project has received a high priority, as disposal of these wastes is required by law, and thus there will be a concerted effort toward expediting the process. The total estimated cost of this one time disposal of the backlog is $350,000.

On-going waste disposal is a much more involved process. This requires adoption of a hazardous waste management policy and staffing to meet the requirements of that policy. The hazardous waste policy should address the need for using hazardous materials, ordering those that are deemed essential, monitoring the paperwork to ensure proper delivery, storage, and use of such materials, developing and monitoring techniques for minimizing dangers when using such materials, and finally developing and monitoring the disposal of hazardous materials after they have been used, as well as those that are left over. The EPA has regulated record-keeping requirements for nearly every step of this process, including reporting requirements for nearly every step of this process, including reporting requirements to EPA.

Question. For the record, supply the estimated life cycle costs of the hazardous waste disposal program; identify the components of the program.

Response. The hazardous waste program consists of several components.

The ongoing portion of the program is the continuous identification, quantifying and disposal of hazardous wastes in accordance with Federal and District regulations. This requires adoption of a hazardous waste management policy and staffing to meet the requirements of that policy. The hazardous waste policy should address the need for using hazardous materials, ordering those that are deemed essential, monitoring the paperwork to ensure proper delivery, storage, and use of such materials, developing and monitoring techniques for minimizing dangers when using such materials, and finally developing and monitoring the disposal of hazardous materials after they have been used, as well as those that are left over. The EPA has regulated record-keeping requirements for nearly every step of this process, including reporting requirements to EPA.

This ongoing program would be difficult to analyze in terms of life cycle costs, since there is no specific activity that has a definitive "life expectancy."

The funds requested for the one time disposal of a backlog of hazardous waste would also be difficult to analyze in terms of a life cycle cost. It is not considered feasible or safe to store hazardous wastes for long term duration. The disposal cost is a one time expenditure, and as such, cannot be compared to a "life expectancy."

REPAIRS TO EAST FRONT STAIRS

Mrs. Boggs. There is $3,517,000 to repair the monumental stairs in the East Front. They have been shored up for some time. How long can this project be delayed before you have to begin these repairs?

Mr. White. Well, I would say in response to that, we should examine their condition on an annual basis. The shoring is in excellent condition, and it will remain there. I am certain that we can defer for another year. Once the shoring was put in place, which, as you know, has been there for a couple of years, and remains in good condition, the portico structure will remain intact. We won't get any structural collapse.

That isn't to say the materials aren't continuing to deteriorate, but at least we are holding them in place. I am certain it could last another year if the committee feels it wants to defer.

Mr. LEWIS. When was the East Front renovated and extended, why wasn't that work done at that time?

Mr. WHITE. I don't know.

Mr. LEWIS. Does somebody know?

Mr. WHITE. Well, I think—the Senate——

Mr. LEWIS. It is hard to imagine that such a major project would not have been done. That was 15 years ago.

Mr. WHITE. It was done in the late fifties. It is 30 years ago.

Mr. LEWIS. It seems to me it was very logical to consider there was a problem at that point in time. We did have an Architect in the Capitol.

Mr. WHITE. You did have. That was before my time.

Mrs. BOGGS. It may seem as though he has been here 30 years.

Mr. LEWIS. No, no, no. I am easier on George than that. Perhaps somebody who has been around that long would know why it wasn't done at that time.

Mr. WHITE. I doubt it was viewed as a need. I must say that when the subway on the Senate side was installed, the subway that now goes to the Dirksen and Hart and the Russell Buildings, when that was installed, the Senate steps were taken down in order to excavate for the terminal at that end of the subway.

Those steps were all redone on the Senate side. You will notice, for example, that the stair treads on the Senate side are granite, whereas the House side, which are the original steps, are marble and worn and deteriorating. There is a structural problem on the House side which no longer exists on the Senate side because there the stairs were redone.

Mr. LEWIS. Maybe it is too illogical to even think. I would have guessed somebody would have tried to think that through at that time, and maybe do both sets of steps at once.

Mr. WHITE. They may have. I don't know. It is also the possibility that someone said, "Well, it will last a little longer. Let's wait for the future."

Mr. MYERS. They are still saying it, too.

Mr. WHITE. That could have happened.

PCB TRANSFORMER REPLACEMENT

Mrs. BOGGS. In the new and continuing programs, you are asking for $4,184,000 to reclassify or replace several transformers which contain PCBs. How much has been appropriated to date?

Mr. WHITE. The amount appropriated to date is $6,656,000. I am sorry, that is a slight error. It is $6,226,000. The order of magnitude was the same. Of that, we have obligated for the group 1 transformers, a little over $2,000,000. We are anticipating the obligation of $2,000,000 more for the group 2 transformers. You may recall that we divided these into four different groups. The group 1 transformers were those that contained PCBs and that were located inside of buildings, so that if a fire would have taken place, that would be a most hazardous circumstance. Those have been done first.

The group 2 transformers are those that require replacement but were outside of buildings, in vaults below ground. Those were deemed to be of a secondary hazard because they would not be within a building if there had been some problem that occurred.

The third and fourth groups are those that are below the voltage limit requiring replacement by EPA. We, nevertheless, plan to replace them in order to not have any PCBs at all. We have done group 1. We are about to do group 2. Then group 3 will occur in conjunction with the appropriation of funds that we are asking for now.

Some of this request is a request for funds that were reprogrammed out of this account that were not needed because of the extended time it was taking for us to perform the work. Therefore, we utilized these funds for other purposes. We are asking for those to be replaced.

In addition to that, an additional amount is requested so that we will have the funds available to begin the group 3 transformer replacement.

Mrs. Boggs. We understand there are 124 transformers in all. How many were not in compliance and how many have been taken care of?

Mr. White. There are 130 transformers in all, according to the count—excuse me. That includes the Supreme Court in terms of all transformers. Leaving off the Supreme Court, which has six transformers, there were 124 in the Legislative Branch. You are correct, there are 124. Of those, 36 were in group 1. Those have now all had the PCB replaced. Some of those are not yet in compliance, but will be. Compliance means 50 parts per million residual PCB after the basic liquid has been replaced.

Some of those are taking a little longer to leech out than others, so they may not yet have achieved 50 parts per million or less for a period of 90 days, which is the requirements. It is anticipated that within the next few months they will all be in compliance. That is group 1.

Those that are in group 2, the transformers that are in vaults outside of the buildings, underground or below ground, will be replaced as a part of this next expenditure of $2 million. Those will not be in compliance by October. They will not be able to be replaced by October, but they are not considered critical in that they are not within buildings.

Mr. Fazio [presiding]. Thank you, Mrs. Boggs.

The reprogrammings that have occurred, we have been assured they did not in any way impede your progress?

Mr. White. They did not in anyway impede our progress.

Mr. Fazio. You had to go through this more time consuming process in order to do the job correctly?

NEW PCB REPLACEMENT PROCESS

Mr. **White**. That is correct. Furthermore, that has now changed. When we began this process, the method of disposing of hazardous wastes, particularly in this case PCBs, had not developed to the point where it has now. We proceeded to replace the PCBs in the transformers rather than replace the transformers, which needed replacement anyway. Some of these transformers are 40 years old and need replacement.

At that time, we were unable to dispose of transformers with PCBs in them. There was no place to do that; no one would accept them and the government would be liable for some future injury or damage. But that has now changed. We can now replace the transformers with PCBs in them, and they can be disposed of in a proper, legal way without our having to replace the PCBs within them first. So the time element will be diminished now in order to accomplish the total goal.

Mr. **Fazio**. Will you meet the EPA deadline of October 1, 1990?

Mr. **White**. All of the transformers that are within buildings will be in compliance by October. Most of them are in compliance now. They have all had the PCBs replaced, but compliance means measured less than 50 parts per million of residual PCBs, which is soaked into materials inside. That measurement has to occur over a 90 day period. There are a few of them that have materials inside that has absorbed a lot of PCBs and the 50 parts per million is running up to 75 or 100. It is not an appreciable amount, but technically doesn't meet the requirement.

We expect those will leech out over the next few months and be in compliance by October 1. Those transformers in vaults outside of buildings will not be in compliance. We will replace those. Replacement cannot take place by October 1, but they are not considered critical because they are not within buildings.

PAYROLL SYSTEM CONVERSION

Mr. **Fazio**. You are requesting $1 million for the payroll system design to convert it to the National Finance Center?

Mr. **White**. Yes.

Mr. **Fazio**. Is that in New Orleans?

Mr. **White**. Yes, the Crescent City.

Mr. **Fazio**. Are you on target for that?

Mr. **White**. We are. We are expecting a meeting and a final agreement to be reached in April. It has taken some time for that to take place. It is more complicated than it appears on the surface. I think we have all those problems behind us.

Mrs. **Boggs**. Do you contemplate contracting with another agency for this service?

Mr. **White**. With the National Finance Center, which is the Department of Agriculture, I believe.

Mr. **Fazio**. Are they performing this role for a number of small administrative agencies?

Mr. **White**. Yes, sir.

SHUTTLE VAN REQUEST

Mr. FAZIO. We have encouraged the government to use their services. Under Capitol Grounds you have requested $5,014,000 and 84 positions.

You are requesting the purchase of two shuttle vans?

Mr. WHITE. Yes.

Mr. FAZIO. What is wrong with the current vehicles?

Mr. WHITE. The current vans are leased. They are the kind of vans one uses for home use as well. What we need are mini-buses. The traffic has increased dramatically. That is, the ridership traffic. These that we propose buying are buses with a center aisle that are like small public transportation buses instead of vans. They are outfitted to be able to accommodate the handicapped.

We have no transportation for handicapped on the Hill at the moment. These new buses will permit wheel chair lifts to be installed on the buses so that we can lift wheel chair into the bus.

We feel it is a necessity for us to do both things—to be able to handle the increased traffic better and also the handicapped.

Mr. FAZIO. The leases are up and you are requesting purchase in lieu of lease?

Mr. WHITE. That is right. We would be glad to lease them, but nobody leases this kind of vehicle.

Mr. FAZIO. Not the kind you want?

Mr. WHITE. That is right.

CANNON BUILDING ELECTRICAL SYSTEM

Mr. FAZIO. You are requesting $2 million for the Cannon Building electrical system renovation. We provided $300,000 for a study in FY 1989. Has that been completed? Are you sure that the estimate is firm?

Mr. WHITE. We have completed the conceptual design. Our knowledge of what it will cost is better than it was before we had that. Obviously, in every kind of construction process, until you have detailed working drawings, your estimates are always subject to ambiguity. What we intend to do now is proceed with working drawings on the basis of the estimate which has been corroborated.

Mr. FAZIO. It is going to cost $6 million over three years?

Mr. WHITE. There is another $4 million to add to that for sprinkler systems, smoke detectors and that sort of thing, just as we have done in the Longworth Building. We are probably talking about $10 million. We are asking for $2 milion now in order for us to get started. Then we will ask for more.

Mr. FAZIO. Three hundred thousand dollars then, in your view, was well spent?

Mr. WHITE. Absolutely.

Mr. FAZIO. You have a much firmer estimate now.

Mr. WHITE. That will get firmer as time goes on. We have corroborated the original guess. We think that has been useful.

NEW CANNON/LONGWORTH ELEVATORS

Mr. FAZIO. Another very popular upgrade is the possibility of adding elevators at the Cannon and Longworth buildings. We are not talking about maintenance in this case.

Mr. **White**. That is right. Adding new elevators.

Mr. **Myers**. Replacing old elevators?

Mr. **White**. Adding additional ones.

Mr. **Fazio**. Last year you had an estimate of $6.6 million. This year you are requesting instead of that, $8 million. We provided $600,000 in design money in prior legislation. We are looking again, for firm cost estimates. When we appropriate these dollars for design, we are hoping to get firm figures for the outyears. Is that $8 million firm?

Mr. **White**. Eight million dollars is a better estimate than we had before because we have done some design work, for which you gave us the money. On the other hand, this hasn't been approved by the House Office Building Commission. This includes six elevators in the Cannon Building, and four elevators in the Longworth Building. It is not clear we need six elevators in the Cannon Building. It may be that four is adequate. We need to discuss that further, so this estimate is based on perhaps more elevators than we really need.

Mr. **Fazio**. We all agree that we don't have enough now.

Mr. **White**. That is right.

Mr. **Fazio**. The lost time due to poor elevator service in those buildings is incredible.

Mr. **White**. Particularly true in the Longworth Building.

CANNON/LONGWORTH COURTYARD INFILL

Mr. **Fazio**. What about the discussion on in-fills for the Cannon or Longworth courtyards? There has been talk about trying to get more usage out of those buildings by infilling the space in the courtyards to the tops of the buildings. I am wondering if you have thought through a design for this project? Do you foresee any conflict arising from that possibility?

Mr. **White**. We have thought about it, Mr. Chairman. The concept of filling in those courtyards has been examined in some detail going back many years. At the time when Congresswoman Holtzman was here, she had a strong feeling about filling in those courtyards and architects were hired by one of the committees. We worked together with them.

The conclusion that was reached is that it is just not economically feasible to do that. The space that would be gained for the cost is not enough to justify the expenses. I think there would be dramatic opportunities for criticism with the dollars per square foot it would cost after it was completed.

But leaving that issue aside, what we have done is to design the additional elevator proposal in such a way as to minimize lost space in the existing building. The elevators would be built out into the courtway. The hatchways would be built out into the courtway, so all you would need would be a narrow passage to get to them and therefore not take up valuable office space that is presently utilized.

If, for example, sometime in the future, ideas or concepts should change so that filling in those courtways in some way is desirable, the elevator installation would not affect that. They will be totally enclosed in their own masonry hatchway, two elevators per hatchway. That hatchway would have to built around. Part of any new design would have to take that into account, but it would not inhibit it.

Mr. FAZIO. That is good news. I want to make sure we have not precluded any further discussions by this design.

PRINTING FACILITY DESIGN

Speaking of designs, the printing facility design is nearing completion, as I understand it. When we prepared the reprogramming approval it was stated that the committee was to be consulted during the course of the design. I am concerned that the workload is not well understood and the organizational concept needs to analyzed.

We had a discussion yesterday with Mr. Molloy and his staff about the current bottleneck. Are the internal workings of that building fully understood by the architects and designers? I am not saying you shouldn't proceed with this, but before you do, I hope that the building specifications meet the existing needs. We want a building that provides maximum efficiency.

Mr. WHITE. There is, of course, a necessity to do that. We think that is being done. First let me say that the statement in the justifications regarding the imminent completion of the drawings is somewhat like Mark Twain's statement that his death had been somewhat exaggerated—prematurely announced.

We are still in the design development stage. Although we are pushing pretty hard to move ahead with the design, there are opportunities yet for all kinds of changes. On the other hand, our engineers and architects have been working closely with the Doorkeeper and with the printers. I should remind the committee——

Mr. FAZIO. The printers may not be our printers for much longer.

Mr. WHITE. We were directed by the Committee on House Administration to design this building for a single printing operation entirely owned by the United States Government, that's owned and operated by the House of Representatives, not by private profit making entities. That is the way we are designing it. These are responsible professional designers who have worked in the printing industry. I get minutes of meetings at which all of the interested parties are present. We think we have a design that will respond to all of the needs.

Furthermore——

Mr. FAZIO. In effect, some decisions have been made about equipment and space requirements.

Mr. WHITE. Decisions at the design/development stage, yes. They are subject to change.

Mr. FAZIO. That is what I worry about after the building is constructed.

Mr. WHITE. By subject to change, I mean change in the sense that the people who are involved in this are the ones who know most about this particular operation, namely the Doorkeeper and the printers. So far as I know, that has been taken into account.

Mr. FAZIO. I may be worrying about this needlessly but, given the transitional phase we are going through, who is worrying about it? Who will be operating it? Who will be making the purchases of equipment, et cetera?

Mr. White. From the standpoint of the architect, we are trying to respond to a multifaceted client, which is always a difficulty. I think finally the choice and the decision is in the hands of the Speaker as to who is going to operate it, and how it is going to operate.

Mr. Fazio. Obviously he is going to be advised by people who will have much more detailed knowledge. I am not certain I know who these people are at the moment. That is my concern.

Mr. White. I am not certain I know either, Mr. Chairman. We are proceeding as best we can and remaining flexible. I would be glad to proceed in whatever manner you think we should.

Mr. Fazio. I wanted to highlight it because we are concerned about it.

FUTURE BUILDING EXPANSION CONSIDERED

Mr. White. Let me remind the committee also that we intend to design this building with footings and foundations and roof structure that will enable it to go up as a multistory building, or in the alternative, an addition could be constructed alongside, so that we have opportunities for future expansion in the event that that is needed either for publications or for something else.

SECURE CONFERENCE CENTER LOCATION

Mr. Fazio. You indicate that different locations are being considered for the conference center. I gather you are still interested in this secure facility?

Mr. White. Yes.

Mr. Fazio. Is the current folding room a possibility?

Mr. White. Yes.

Mr. Fazio. It is not being retained?

Mr. White. There have been no decisions made by the House Office Building Commission. All space is controlled by that Commission. There have been no allocations of space made of any kind. We suggest that a portion of that area would lend itself very well to a meeting room of that kind.

Mr. Fazio. Do you have any other locations in mind?

Mr. White. None specificially.

Mr. Fazio. That location would meet your requirements?

Mr. White. Yes.

TRASH COMPACTOR ENCLOSURE

Mr. Lewis. Mr. Chairman, could I interrupt?

As long as we are talking about items that relate to the commission that oversees our buildings, the structure that was built on the south side of the Cannon Building next to the parking garage is awful. Cannon is a beautiful building and the structure takes away from the design.

Mr. White. It was to cover up what was inside, what had to be there, which was a compactor. The problem was the need for waste disposal. We originally had that compactor in the loading dock of Longworth Building. That was an impossible circumstance in light of the volume of document mailing coming out of the Longworth Building, because the folding room is there.

Mr. LEWIS. I never have asked the question before. Some of these buildings are just magnificent. And compactor or no compactor, it is hard for me to imagine that any commission would allow a redesign of that beautiful building in the Cannon Building.

Mr. WHITE. It should be viewed as a temporary thing. It is not stone. It may look like stone, but it is just plaster. If, for example———

Mr. LEWIS. Enough said. We will get into that another time. I appreciate it. I didn't realize that the structure was designed to be temporary.

Mr. FAZIO. Any questions on this?

Do you have a question, Mr. Myers?

Mr. MYERS. Please proceed.

Mr. FAZIO. I will insert two questions in the record.

[The questions and responses follow:]

HOUSE OFFICE BUILDINGS

The request for the House Office Buildings totals $52.1 million ($52,110,000) and 769 positions.

CYCLICAL MAINTENANCE

Question. You are requesting $2 million for the Cannon Building electrical system renovation. We provided $300 thousand in FY 1989 for a study. Has it been completed?

Response. The contract date for the completion of the conceptual design study for the Cannon Building electrical system modernization program is February 1, 1990. Following review of the conceptual phase, design development will proceed and plans and specifications suitable for in-house construction will be complete by October 1990.

The basis for the estimated cost of $10 million for the Cannon Building electrical system modernization is based on preliminary information provided by the conceptual design study stated above. Part of the increase is due to the additional scope included in the project to provide for a building wide fire protection sprinkler, smoke and alarm system. Cost estimates will be further refined as the design development phase proceeds.

Question. What is the basis for the total cost estimate of $6 million?

Response. The original cost estimate of $6,000,000 was based upon a concept of supplementing the existing electrical system to provide for increased use of electronic office equipment. However, as more detailed study and design evolved, it became obvious that the existing electrical system must be replaced in addition to the installation of the new supplemental system. Also, the renovation must provide for improved telephone, data, and imaging wiring systems for the future as well as for the present. The concept design for renovation also allows for a new fire sprinkler, smoke detector, and alarm system to be installed throughout the building similar to that currently being installed in the Longworth Building. Consequently, the current cost estimate, based upon the concept design study and report prepared by our architectural and engineering consultants, is $10,000,000 for the Cannon House Office Building.

DESIGN FOR ADDITIONAL STEAM CAPACITY

Mr. FAZIO. You are asking for $1 million to design additional steam generating capacity. We provided for a study in fiscal year 1989. Has the study been completed?

Mr. WHITE. The study is not completed, although it is very close to being completed. The cost estimates are being corroborated by that initial study. The requested funds are to enable us to continue with working drawings in order to, again, get more credible cost estimates.

BAGHOUSE ALTERNATIVE

Mr. **Fazio**. We had a request for $3 million for a new baghouse at the power plant last year. You found an alternative. Could you tell us how you saved us that money?

Mr. **White**. That baghouse filter was to take care of meeting the clean air requirements when we were burning coal. We decided to convert to gas for that boiler, which would enable us to use it during the several years it would take to construct a baghouse filter. Although the gas is a little more expensive than coal for the energy that one gets, we also analyzed the cost of the baghouse filter if we reconverted back to coal.

Mr. **Fazio**. And gas won?

Mr. **White**. Gas won in the sense it would take something like 35 years to pay for the cost of the baghouse filter through savings by the use of coal. It seemed improper to do that. We have abandoned the need for the baghouse filter.

Mr. **Fazio**. I will insert questions to be answered for the record on the Capital Power Plant.

[The questions and responses follow:]

Capitol Power Plant

You are requesting $35.1 million ($35,077,000) including reimbursements of $2.4 million and 104 positions for the operation of the Capitol Power Plant, including the purchase of electricity, oil, and coal during fiscal year 1991.

Question. Why is this $3 million ($3,147,000) for water and sewer payments necessary?

Response. Funds are requested in fiscal year 1991 to begin annual payment to the District of Columbia Government for water and sewer service charges. These costs were authorized to be paid to the District Government by Public Law 101-168, the District of Columbia Appropriations Act, 1990. The estimated cost of water and sewer service payments to the District will be $3,147,000, according to estimates provided by the District.

Question. Explain the need for $3 million for repairs to the pipe tunnel under North Carolina Avenue.

Response. The North Carolina Avenue Pipe Tunnel has deteriorated seriously and must be restored. The D.C. Department of Public Works has determined that the street paving and subgrade above and around the tunnel has deteriorated to the point that truck traffic must be banned. The District programmed fiscal year 1989 funds for consulting fees for the reconstruction of paving and subgrade above the tunnel and the Architect of the Capitol has coordinated the tunnel repairs accordingly. It is expected that construction funding for the street repair will be included in the District's fiscal year 1991 appropriation request.

The cost of reconstruction and repair of the tunnel would be much less for the Architect of the Capitol if it were accomplished in conjunction with the District's effort. A consultant, retained using fiscal year 1989 funds appropriated for this purpose, is working on a preliminary design study in order to develop the most feasible construction option, coordinated with the District's efforts, and to develop credible design and construction cost.

In addition, funds are requested to repair a portion of the pipe tunnel beneath Constitution Avenue which recently suffered a partial collapse.

These funds are requested to provide construction drawings and contract specifications, and funds to proceed with final repair once the contract documents are completed. As this work will require more than one year to complete, these funds are requested on a "No Year" basis.

Further, in order to prequalify contractors whose experience and reputation in this type of work are of the highest standard, these funds are requested to be exempt from the provision of Sec. 3709 of the Revised Statutes, as amended.

Question. Last year the request was $5 million. Have you reduced the scope of this project or just sharpened your pencil?

Response. The reduction in the cost estimate for repairs to the pipe tunnels from $5 million to $3 million is due to information based on the consultant's preliminary evaluation, funds for which were provided in the fiscal year 1989 budget.

MADISON BUILDING ROOF REPLACEMENT

Mr. FAZIO. You are requesting $12,608,000 and 139 positions for structural mechanical care of the Library Buildings and Grounds. Why does the Madison building need a new roof ($3.1 million). That building is only about 15 years old.

Mr. WHITE. By the time that roof is replaced, it will be 17 years old. It won't be replaced until '92 if these monies are made available in '91. The roof was a poor design in retrospect. It was the state of the art at the time. There were a number of those roofs done by the Koppers Company, which is one of the best. That is, it is their material and the design. There have been a lot of those roofs that have failed. We have been patching it and patching it. We have gone into all the legal aspects of it. Our legal counsel has been struggling with the roofing contractor, general contractor, materials supplier. It is just a morass of difficulty.

In any event, the roof, with the patching that we have done up to now, will have lasted almost the 20 years. It does seem too bad to have to replace it, but it was a design that wasn't any good. The insulation, which goes between two waterproof layers, later degasifies and creates bubbles. It was not known to have been able to do that. It was used in many, many buildings at that period.

Mr. FAZIO. This will be the state of the art roof?

Mr. WHITE. Yes, yes. This is today's state of the art.

Mr. FAZIO. Neither you nor I will be here, but how many years do you think this will last?

Mr. WHITE. I am sure it will last 20 years.

Mr. LEWIS. Will you ask our lawyers how our contracts are on the new one?

Mr. WHITE. Yes.

NATONAL GARDEN CONSTRUCTION

Mr. FAZIO. On the Botanic Garden, there is a $3.8 million request flower, the rose, which Mrs. Boggs could speak to as a great propo- flower, the rose, which Mrs. Boggs' could speak to as a great proponent of the role.

I thought the garden was going to be supported from private funds. I didn't expect to see the request included with your budget submission.

Mr. WHITE. Well, we are not a fundraising agency, as you know. We were asked to build a garden. We went to the Joint Committee on the Library with a design which they approved, and directed us to seek funds. We have no way to seek funds except through this committee.

Mrs. BOGGS. May I say something?

Mr. FAZIO. I would certainly want to yield to my friend.

Mrs. BOGGS. The FY 1989 legislative branch appropriation bill directed the construction of a national garden, demonstrating the diversity of plants and featuring the rose, our national flower. I think that the Architect proceeded under the direction of the Act. If I may, Mr. Chairman, I would like to ask George to tell you about the way the design was arrived at and also to discuss private contributions. The plan takes into account efforts to get the public interested in the project and to provide support for it.

Mr. WHITE. We engaged a consultant named EDAW, a landscape architectural firm of national reputation. Together with our input, a garden was designed to be installed to the west of the Botanic Garden Conservatory. It is a garden comparable to the Enid Haupt Garden installed at the Smithsonian on Independence Avenue. The EDAW proposal was concluded to be a properly designed and beautifully appointed garden, a conclusion with which I concur.

The issue of cost then arises. There have been a number of people in the industry who have offered to give us contributions, plants and other things, but nobody has come up with any money as such. It is one thing to give us plants. You remember in the case of the roses, we were offered—by the Rose Growers Association as I recall—7,000 rose plants. Then we came to the issue of what it was going to cost to take care of them annually.

I think that is another issue that needs to be faced here. This will require annual funds—once we get it in whatever form. You can't have a garden of that magnitude and that scope and diversity without expending annual funds in some form to maintain it.

NATIONAL FLORA DISPLAY

Mrs. BOGGS. Mr. Chairman, the garden was designed at the direction of the committee and it includes the various kinds of plants, flowers and garden designs from throughout the country to reflect a national garden. As popular as the enclosed Botanic Garden display is, we assume the outside garden will be even more popular with people from all over the country.

The design does include the lighting, the utility lines and so on, so that it may be used for functions after hours as the indoor garden is used now. I believe you have heard from Senator Johnston, whose original legislation this was. Senator Pell seems to be very interested in it as well.

I think we should try to figure out some way that we could have some depository for funds so that not just in kind donations, but cash donations could be received.

Mr. WHITE. Mr. Chairman, with regard to the in kind donations, the commitments of perennial plants, small trees, shrubs, hedges, roses, et cetera, we think amounts to approximately $300,000. But that, as we say in our justifications, doesn't give you the garden. We think it is a beautiful design, and we think it will be a magnificent addition to the Capitol area, particularly in the Legislative Branch area.

Mr. FAZIO. I can see that. The design is lovely, and I think it would be an enhancement to the grounds. There appears to be a need for someone to take charge of the fundraising and volunteer efforts. There doesn't seem to be a coordinator or project manager in charge yet. Is that correct?

Mr. WHITE. That is in terms of fundraising, yes. If you are going to raise funds from the private sector, that is a major effort. It requires people and money, as you know. Fundraising requires up front money.

PRIVATE SECTOR INVOLVEMENT

Mr. Fazio. Before we consider approval for this, someone should provide us with a model or plan that indicates the means by which the private sector will be involved.

I am sure that the resources are available in the private sector even to the point of planning and implementing State exhibits. I am sure many segments of the floral industry would want to be involved. I believe the potential is great. However, if we continue to appropriate money, the incentive for private sector involvement might be lost.

We do need some seed money, no pun intended, but we obviously need resources from private entities.

Mrs. Boggs. I would be happy to look into that.

Mr. Fazio. All right, Mrs. Boggs.

Mrs. Boggs. Ralph Hall is very interested in leading this kind of an effort.

Mr. Fazio. That would be wonderful. He has lobbied me on this issue. As a member of Energy and Commerce, his fund-raising potential is great.

Mr. Lewis. You should consider the assistance of architectural organizations and florists.

Mr. Fazio. Is there a commission or a committee, Mrs. Boggs, that would be able to help manage this effort? Is there a subcommittee of the Joint Committee on the Library that would be helpful? This year, perhaps, we could put together in legislation the impetus to assist the Architect in implementing this legislative directive.

We will work together on this.

Mr. White. As we discussed on another occasion, Mr. Chairman, we probably wouldn't need to expend any funds for fertilizer.

Mr. Fazio. I will insert some questions on the Botanic Garden to be answered for the record.

[The questions and responses follow:]

BOTANIC GARDEN

Requesting $7.4 million ($7,369,000) and 59 positions for fiscal year 1991 for the Botanic Garden. That's a $4.9 million increase and 2 new positions.

Question. What is the current schedule for relocating the Popular Point Nursery to the new D.C. Village site?

Response. Construction of the new growing facility at D.C. Village began in August 1989 and is scheduled to take approximately one year to complete. Thus the facility will be ready for the Botanic Garden staff to begin moving plant stock as early as August 1990 if the contractor meets the contract schedule. The Washington Metropolitan Area Transit Authority (WMATA) is the contracting authority for this project as a turn-key operation for the Architect of the Capitol, and the AOC therefore has no direct control over the contractor or schedule.

According to the presently agreed upon schedule, following the 1990 Christmas Poinsettia Show, the Botanic Garden staff will complete the moves of plant stock to the new growing facility, completing that effort in early 1991. The District of Columbia Government Department of Public Works will continue their site work with improvements and changes to the roadway system. That work is presently scheduled to be complete in February 1991.

Any potential delays to this project with respect to construction of the facility will be coordinated between the AOC and WMATA, and any delays with respect to the roadway system will be coordinated with the AOC, WMATA and the District.

Question. When do you expect to occupy this site?

Response. It is anticipated that Botanic Garden staff will begin to move plant stock to the new growing facility beginning in August 1990.

VISITORS CENTER LOCATION

Mr. FAZIO. We had a discussion with the Clerk of the House, Donn Anderson, about the possibility of constructing a Visitors Center on the Capitol grounds. Many of us noted that there is a security building planned, at least tentatively, for the perimeter of the Plaza. Although that would probably not be large enough. A site on the west front has also been discussed.

We have come to the conclusion that we are just not doing a good job of educating tourists and visitors to the Capitol. Many minor national parks are providing a much better orientation and sightseeing and historical information to their visitors than we are at the Capitol.

Have you looked at the possibility of siting a Visitors Center in the area?

Mr. WHITE. Not recently, Mr. Chairman. We looked at it some time ago when the Union Station was proposed as a Visitors Center. But we really haven't given it a lot of thought since then.

Mr. FAZIO. The Clerk envisions a center northwest of the building at the bottom of the hill in symmetry with the Botanic Garden. The center might offer a film and eating and restroom facilities. Those are amenities that tourists visiting the Nation's Capitol certainly deserve. Most important, the center would help orient people to the experience of the Congress and to this historic building.

Would you take a look at that?

Mr. WHITE. Yes.

Mr. FAZIO. I know Mr. Anderson is interested. We really don't offer much for the people who come here on tours.

PAGE SCHOOL

Lastly, the Page School issue, the Providence Hospital site. Tell us about the plans for that site and how you might see our needs to better house the pages.

Mr. WHITE. There have been several interests expressed. I received a letter from the heads of four institutions, the Smithsonian, the National Gallery, the Library of Congress, and the Woodrow Wilson Center asking me to keep in mind the need for a place for visiting scholars for those four institutions, particularly the Library, and suggesting that if we did anything on that site, it would be useful to have some sleeping quarters available for visiting scholars who find it difficult to live in this city, in locations convenient to where they are doing their scholarly work.

Recently, I received a request to meet with, and they are now developing a proposal, representatives of the University of California, which wants a place for scholars and a center here, to possibly construct a building on that site. In my conversation with them, I stated that any such proposal should have in it a facility for the Page School as well as room for visiting scholars.

They were to come back to me. I think they are in the process of organizing a more specific proposal rather than just conversation to accomplish those purposes. It is my understanding they would propose to build the building. Then we could lease back whatever portion of it——

Mr. Fazio. Which causes this earlier discussion about lease back to be relevant.

Mr. White. Exactly. I must say that in that regard that that plus, for example, the building you just mentioned for visitors and so on, could all be done in a way that, irrespective of the scorekeeping method, doesn't involve upfront government funds.

In that regard, we have some legislative language that I will soon be in a position to propose to enable us to proceed on that basis as a general thing, under a Commission to be appointed by the Congress that would specifically authorize particular buildings, but would give us authority to, on Capitol grounds to proceed on that basis.

There are other possibilities. As you know, the Federal Financing Bank is one and direct borrowing from the Treasury is another, which some agencies have authority to do. If we were given authority to do that, we could avoid the fees and also the basis points above the 30-year Treasury rate that one is required to pay if we are going to go to the private sector, as we have done on the Judiciary Office Building.

There are a number of those things in consideration that I will bring to your attention in the very near future. That possibility was viewed also for the Providence Hospital. That was before the University of California came to me. We thought of using private sector financing or government-private sector partnership, in effect, to perform that operation. This looks like it would come out to be a similar possibility, but with the University of California being the moving party.

So, I am proceeding and I will, of course, keep the committee informed as these things develop. I am just listening and waiting for opportunities.

Mr. Fazio. We have to fight through this issue of financing. I believe this center could be seen as a dormitory for pages or residence hall for visiting scholars. It needs to be pursued.

It is a concept that would help many people with housing, including our Pages. At some point we may want to consider demolishing the old hotel and find a better use for that lot.

I appreciate your continuing efforts to drive these issues forward.

LIBRARY OF CONGRESS CHILD CARE SITE

Just one other item. There is a parochial school on East Capitol Street which has been considered as a possible site for acquisition. I am told that this is the ideal place for the Library's child care center, which we have been working on with them. They have not been able to find the space in their existing buildings.

Is that your perception?

Mr. White. Yes, it is my perception.

I have recently offered, at the request of the Librarian, some legislative language that would let us use what has been recently termed creative financing in order for that acquisition to take place.

The Library, as I understand it, is going to come to you for consideration, and also to the Public Works Committee, and the Joint Committee on the Library, and the various entities that have responsibility.

Mr. **Fazio**. This committee has been supportive of securing child care facilities on the Hill, particularly for the Library employees.

We would like to know if there are any other options available, because if there are not, it seems that this land use might be best put for that purpose.

Mr. **White**. This is an excellent opportunity.

Mr. **Fazio**. It is about four blocks east of the Library?

Mr. **White**. It is at Sixth and East Capitol, which is about four blocks.

Any other questions?

Mr. **Myers**. Yes.

Mr. **Fazio**. Please proceed.

Mr. **Myers**. Mr. Chairman, and my colleagues, I apologize for arriving late this morning, but yesterday afternoon and this morning I, like many members, had a parade of people who came into my office and had already read the budget from the President.

They all know what is not in it.

I couldn't get over here this morning because of these appointments.

I will tell you what frightens me.

Page 2 of your prepared testimony. I don't know how we can justify cutting all these other programs and increasing yours by 70 percent. It just can't happen.

DIRECTED REQUESTS

You say of the 13 projects, nine have been directed to proceed. Which four were not directed? What does "directed" mean?

Mr. **White**. The four that were not were the structural repairs to the House east monumental stairs, renovation of the antiquated electrical system in the Cannon Building. Those were initiated by us.

Repairs to the steam and chilled water pipe tunnels.That is initiated by us. Replacement of the Madison Building roof. That was initiated by us.

Others are either mandated or required by law, like the PCB transformers. We are responding to the law. The telecommunications funding, we were asked to do that as a part of the Legislative Branch telephone communication system by House Administration Committee.

Renovations to the House Restaurant kitchen in the Capitol is under direction by House Administration as well as the Speaker.

Additional security measures is from the Capitol Police Board. Construction of the House Publications facility is by the House Administration Committee. I am not opposing any of them.

Mr. **Myers**. Does that amount to a direction for you to do it because it has been proposed by the House Administration? Is it really authorized by law that it has to be done?

PCB's I think, I would understand this. But I am wondering if the stairs could wait a year, maybe two, $3 million there; telecommunications funding is a necessity; the House restoration kitchen would be nice to have, but is it essential; construction of the House Publications facility for $10 million, that is a large sum.

Is that absolutely essential?

The new elevators, I don't know, maybe they are essential. At this time can we afford $8 million? The Conference Center, we need one. We would have had one had the West Front been constructed like it should have been.

But some of the architects didn't like it that way.

The water and sewer services, we have no choice. You say the pipes are rusting out, the steam pipes, I think that probably includes the roof.

If it is leaking, we had better replace it. That is false economy if we don't.

Do we need to start the construction of a new national garden at this time with all the needs of our country? There are items here that don't need to be started this year.

If we expand by $51 million, we will be run out of the country and should be. It seems to me these are things that are going to have to wait.

BOTANIC GARDEN VISITORS

Some things cannot wait. But where there is a choice, they should be put off for another year or two. How many people visited the Botanic Garden this year?

Mr. **White**. About 2 million.

Mr. **Myers**. How do they go through the Botanic Garden that fast?

Mr. **White**. It is open from 9 o'clock in the morning until——

Mr. **Myers**. I didn't realize the garden has any more visitors than the Capitol.

Mr. **White**. Most people that come to the Hill visit the Botanic Garden. We have an automatic counter that counts them as they come in. We have reasonably accurate information.

Mr. **Myers**. You are talking about doing something for the visiting scholars. I think we ought to do something for the visiting taxpayers once in a while, too.

We are not doing very much for them right now it seems to me.

Mr. **Fazio**. That is what the visitors center is about.

Mr. **Myers**. We built the old Union Station for a visitors center. How many visitors centers can we afford? How many do we need?

I am not opposed to it at the right time. With the economy the way it is today, and the need for holding the line to meet Gramm-Rudman, I don't know how we can afford it.

Is there or has there been any thought to building an East Front Plaza underground garage with fountains? I am not opposed to building something similar to the "D" Street garden on top, and building underground garages for our constituents who want to come and visit the Capitol and see where their money is spent.

EAST PLAZA UNDERGROUND GARAGE

Mr. **White**. There was a proposal on the East Plaza to build an underground garage.

Mr. **Myers**. What happened to that proposal?

Mr. **Fazio**. It was too costly.

Mr. **White**. It was at that time something like $60 million. It would probably be $100 million now.

Mr. **Myers**. You could charge people for it. My constituents, who have to park, some of them go to Virginia and ride the Metro over here.

Those 2 million people you are talking about, where are they parking today? I think most of my constituents would be tickled to death to pay for parking if they had a place to park.

Mrs. **Boggs**. I think there was a security concern about underground parking on the Plaza.

Mr. **White**. That is an issue that didn't exist at that time, but it does now.

Mr. **Fazio**. Your points are well taken. This committee rarely funds the entire budget request.

Then, in fact, we are criticized for the items that are eliminated.

Mr. **Myers**. Ten million dollars for next year for this publications housing facility? What will it cost altogether?

Mr. **White**. That is it.

Mr. **Myers**. When does construction start?

Mr. **White**. The construction will start, if the money is made available, in October, when the money becomes available. We will be ready to begin construction at that time.

Mr. **Myers**. Of 1990?

Mr. **White**. Yes.

Mr. **Myers**. How come it will take until 1992 to put a roof on the Madison Building?

Mr. **White**. I think it will be 1992 by the time we get the roof designed. The publications building is being designed right now. Working drawings are being made.

They will be ready in time for us to take bids before October. We will have bids taken. We will be ready to award a contract on October 1, whereas in the case of the roof, we won't even begin the design until we have enough money to do that.

I am sorry, I am mistaken. We have the design.

We could do it in 1991.

Mr. **Fazio**. That is why it is in this year's budget.

Mr. **Myers**. You know, some of these things are going to cost a lot more money. The elevators, $8 million to add new ones. That is one.

Electrical system, $2 million, I don't know how antiquated it is.

NEED FOR ELECTRICAL MODERNIZATION

Mr. **Fazio**. These buildings are really showing signs of age. You see cable running down corridors in these buildings because offices don't have adequate electricity to handle modern office equipment.

Mr. **Myers**. No question about it, something has to be done.

Mr. **White**. The Russell Building and the Cannon Building as you know, were built in 1908. Some of the wiring is still left over from 1908, not all of it, fortunately.

There hasn't been a major revision done almost since the beginning of electrical use.

Mr. **Myers**. Some of these things are a necessity, no question about it. Those things that aren't absolutely essential ought to be put off for a year or two or I am going to be strongly recommending when we meet.

Mr. **Fazio**. It is a known fact that we can't fund a 70 percent increase. Whether it is justified or not, we simply don't have the money.

Mr. **White**. It is my obligation to bring these matters to your attention, and then you make the decision.

Mr. **Myers**. I am not trying to fault you, Mr. White. It seems like some of these things just aren't as essential as some of the others.

I think we ought to provide for the essential things. Replace the transformers, elevators, wiring. But going beyond that, I think we ought to look seriously before we start this next year.

I am concerned about what the American people are going to say, and rightfully so. Those big spenders down there, look what they are spending on themselves.

Mr. **Fazio**. Mr. Myers, I think part of the reason that there is this amount in the pipeline is that we have not over the years, certainly since I have been here, fully funded many of these kinds of maintenance activities. It has been very difficult for us. Many of these projects have been deferred from one year to the next.

Mr. **Myers**. Maintenance is one thing.

Mr. **Fazio**. Who is to say when that kitchen passes the point of no return in terms of its ability to perform. Then we will hear the complaints that the facility can no longer handle the requirements of the catering service, which we need to make money to allow the dining room pay for itself and then on, and on, and on.

I don't think there is anything you have requested, with maybe a few exceptions, that would be on the merits a poor idea. In fact, much of it is deferred maintenance.

Mr. **Myers**. I am certainly not suggesting that either.

LIMITATION ON FUNDING FLEXIBILITY

Mr. **Fazio**. I know you are not. We simply don't have the money. That is our problem.

Every year the funds are eaten up by the additional costs of personnel, office equipment and other mandatory requirements. This part of our budget doesn't receive the attention it deserves.

I usually receive repercussions after we finish the bill because some people expect us to fully fund all the items that House Administration suggests we need. We simply can't do it. Right or wrong, we just can't afford it.

We are forced to keep our bill at a level that will pass. It doesn't mean these deferred costs don't move forward, and in some cases increase by the time we finally can fund the projects.

ATTENDING PHYSICIAN'S REQUEST

Mr. WHITE. Mr. Chairman, on another subject but before I overlook it, I have a request from Dr. Narva, the Attending Physician, which will be submitted for the record, to add a nursing position and modify the grades of the current nursing staff.

[The letter follows:]

OFFICE OF ATTENDING PHYSICIAN
UNITED STATES CAPITOL
WASHINGTON, DC

January 23, 1990

The Honorable George White
Architect of the Capitol
United States Capitol
Washington, D.C. 20515

Dear Mr. White:

I am writing to request the following be included in the FY 91 Budget request for the Architect.

- Request that 40 U.S.C. 166 B-2 be amended to authorize the Architect of the Capitol to allocate the Registered Nurse positions to the grade of 11 of the General Schedule.
- Request that one additional Nursing position be established.

The allocation of Registered Nurse Positions to the grade of 11 of the General Schedule is necessary to ensure continued recruitment of quality nurses.

The establishment of one additional Nursing position is necessary to accommodate increases in workload experienced as a result of Quality Assurance and other new Medical Programs now in place. This will ensure Nursing care provided to the Congressional Staff remains consistent with community accepted standards of medical care.

Should further information be required, please contact Mr. Robert Moran or Mr. Gene Earley. Your assistance and support in this matter is appreciated.

Sincerely,

WILLIAM M. NARVA, M.D.

Mr. **Fazio**. I appreciate that. Dr. Narva mentioned that yesterday under the Clerk's budget.

Mr. **White**. We are the conduit for that. I will leave that for the record.

Mr. **Fazio**. Dr. Narva is having a very difficult time competing for nurses given the higher salaries that are available in the surrounding areas.

He has already lost one nurse and is afraid he is going to lose another. In order to attract and retain personnel, he is going to try to move the nurses up from GS–10 to GS–11.

Mr. **Myers**. Where are all the nurses this morning? I heard from the Indiana Hospital Association exactly the same story.

Mr. **White**. The grade levels of the nurses are set by law, so it has to be changed by law.

Are there any other questions?

Thank you, Mr. Myers, thank you, Mrs. Boggs. And thank you, Mr. White for your presentation.

There are additional questions to be answered for the record.

[The questions and responses follow:]

Questions for the Record Submitted by Mrs. Boggs

CONGRESSIONAL CEMETERY

Question. Would you please provide a status report on the restoration grant to the Historic Congressional Cemetery Association?

Response. Funds in the amount of $300,000 were appropriated by Public Law 97-276, approved October 2, 1982, for grants authorized under Public Law 97-245, approved August 26, 1982, for a program of restoration and preservation of the Congressional Cemetery under terms and conditions to be prescribed by the Architect of the Capitol. On June 7, 1983, the terms and conditions, including the program for restoration and preservation, were recorded in the Agreement between the Association for the Preservation of Historic Congressional Cemetery (Association) and the Architect of the Capitol.

To date a total of $296,854.70 has been transferred to the Association under the grant, leaving a current balance of $3,145.30. During the past year, the following work was accomplished: installation of security system, installation of signage, patching of roads where sewer/drainage work was done, pouring of concrete bases for lighting projects and performance of minor fence repairs.

During 1990, the Association expects to accomplish some of the following work within the remaining funds limitations ($3,145.30): performance of fence work in security areas, restoration of walkways where sewer/drainage work was done, security of Gatehouse and performance of drainage repairs.

Questions Submitted by Mr. Fazio

ENERGY EFFICIENT LIGHTING

Statement

Energy conservation makes good sense both environmentally and economically. Providing lighting in congressional offices consumes a large amount of energy and is also very expensive. Over the past few years, there have been major improvements in the technology of lighting. New, highly-efficient lights can provide optimum lighting at a markedly reduced cost.

However, these technological improvements in lighting have barely begun to be incorporated into buildings. In particular, energy efficient lighting is only now beginning to be considered for our own legislative branch buildings. The demonstration projects begun recently are a good first step. I believe that the federal government should take a leadership role in advocating and using energy efficient lighting. The legislative branch should assume a leadership role within the federal government and aggressively implement energy efficient lighting with the dual objectives of saving as much energy and as much money as possible.

Demonstration project background information

The National Electrical Manufacturers Association is funding and installing energy efficient lighting in 5 members offices (Schneider, Sharpe, Boxer, Metzenbaum, Wirth) and 2 or 3 committee offices. Program includes: compact fluorescent bulbs, new high efficiency fluorescent tubes with state of the art ballast, occupancy sensors to turn lights off and on, and daylight sensors to adjust light brightness.

Question. Has the Office of the Architect performed a cost/benefit analysis to determine the merits of utilizing energy efficient lighting in legislative branch buildings?

Response. A formal analysis regarding the changing of light fixtures in the office buildings has not been performed. However, as more energy efficient lamps have become available we have replaced older lamps, wherever feasible, in existing fixtures with the newer style lamps.

In addition, the National Electrical Manufacturers Association has undertaken a demonstration project in the Capitol complex that will hopefully assist in making future judgements relating to this issue.

Question. Lighting technology has advanced over the last several years. Cost/benefit studies performed a few years ago may be completely outdated because the newest generations of lights are more energy efficient and more reliable, with longer life-times than were previous generations of energy efficient lights. Is the Office of the Architect keeping up to date on the newest generation of energy efficient lights?

Response. Our electrical engineers are highly respected design professionals and are up-to-date regarding products available in the lighting industry.

Question. If cost/benefit analysis indicates that installing energy efficient lighting makes economic as well as environmental sense, are there any reasons why such lighting would not be promptly installed? What are the upfront, capital costs of installing such lighting?

Response. Changes in lighting not only affect the economics of the energy used but also the aesthetics of the space. Changing one fluorescent tube for another is relatively easy. However, in most cases, this also entails changing the ballast and the associated rewiring relating thereto. Changing the entire fixture not only entails rewiring but may also require additional structural renovations. In any case, for estimating purposes, replacing an existing fixture with a different fixture will cost approximately $100 to $300 each.

Question. Are more data required before making decisions about a major installation of energy efficient lighting?

Response. The installation of different fixtures in the offices will not save as much energy as can be achieved by educating the occupants to turn off the lights when not needed for the immediate task. We are currently experimenting with occupancy sensor devices that will turn off the lights in unoccupied spaces. We are also evaluating the use of photo-sensitive devices that reduce lighting with increased daylight. The installation of these has a great potential for saving energy in addition to increased energy efficiency in the lighting itself.

Question. How soon will results of the demonstration projects be available to help in decision making about larger-scale installations of energy efficient lighting?

Response. The current demonstration project will help make visual judgments as to the effect of changing fixtures. Hopefully, it may also assist in making judgments relating to energy conservation. It will take a few weeks to install the replacement fixtures once we receive them. The visual effect may be evaluated soon thereafter. In any case, we predict that a six-month trial period will be required to receive and evaluate the occupants' reactions.

Question. The demonstration project is privately funded by the National Electrical Manufacturers Association. Under what authority is private funding being used to make capital improvements to members and committee officers?

Response. The National Electrical Manufacturers Association (NEMA) agreed to engage in the demonstration project as a result of testimony presented by NEMA at hearings held by the Energy and Power Subcommittee of the House Committee on Energy and Commerce. The House Office Building Commission has been informed of the project. The fixtures to be used are supplied by various manufacturers with the understanding that they will be returned, if so determined, upon the completion of the project, at no cost to the Government. The installation and removal will be done by in-house maintenance personnel.

Question. A Dept. of Energy study indicates that increasing lighting efficiency by only 25% would reduce the federal lighting bill by $930 million per year. How much would the legislative branch save if lighting efficiency were increased by 25%?

Response. Lighting efficiency includes many factors. We do not know exactly how much energy is used for lighting alone in each building. Some lights are on continuously for safety, security, and various other reasons relating to use of space. If, in fact, the energy used for lighting could be reduced by 25% in these buildings, the dollars paid for electricity for all of the buildings in the Legislative Branch might be reduced by approximately $900,000.

WASTE RECYCLING

Throughout the U.S., communities, corporations, and governments have established or are working together to establish innovative programs designed to make recycling economically viable and a way of life for Americans. By separating our solid waste and recycling it, we help preserve our environment. Reliance on recyclable materials allows us to save our natural resources—trees, fuels, and metals—and reduces our dependence on landfills.

Congress is in a unique position to encourage recycling efforts by demonstrating firsthand the advantages of an effective recycling program. The legislative branch should assume a leadership role within the federal government and aggressively implement a recycling program which separates solid waste for subsequent resale.

BACKGROUND

Last week, the Architect of the Capitol began a pilot recycling program in the Rayburn House Office Building and on the fifth and sixth floors of the Hart Senate Office Building. Each participating office has been equipped with a set of containers designed to collect the desired recyclables such as paper, cardboard, plastic, aluminum, newspaper, and magazines. Income generated from the sale of recyclable materials will be returned to the U.S. Treasury. In August, the Architect will prepare a report on the pilot program.

Question. Has the Office of the Architect encountered any difficulties in lining up vendors to purchase the recycled materials that will be generated from the pilot recycling program?

Response. There are various contractors that will remove materials capable of being recycled. However, not all materials are of such current value that the contractor will purchase them. Some materials require payment for removal. Once separated, they become a different commodity that requires special handling if they are not to end up in a landfill. We are negotiating with various contractors and other interested organizations to remove and recycle materials collected as part of the Office Waste Recycling Pilot Program.

Question. What is the participation rate of the office eligible to participate in the program?

Response. There is considerable interest on the part of those that are aware of the project. However, only about 60% of the offices are actively following the necessary procedures for effective source separation. Improvement is expected with time and familiarity with the program.

Question. Is the program fully operational? What problems has the Office of the Architect experienced in administering this pilot program?

Response. The program is not fully operational. The pilot program will have to run for at least six months in order to gather enough statistical information to make valid judgements as to its problems and its value. We started the actual separation and disposal process during the first week in January 1990.

Question. When can the Office of the Architect implement a recycling program throughout the Capitol complex and what is an estimate of the net revenue that would be generated?

Response. If funds are provided as requested for fiscal year 1991, the program could be expanded to include all of the offices beginning October 1990. Currently, we do not have a firm estimate of the cost or revenue to be generated by the program. The prime purpose of the project is, of course, not to generate revenue but to reduce the burden on landfills. A report will be generated at the conclusion of the Pilot program which will estimate anticipated costs and revenues for expansion of the program throughout the Capitol Complex.

JOINT COMMITTEE ON TAXATION

TUESDAY, JANUARY 30, 1990

WITNESSES

HON. DAN ROSTENKOWSKI, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF ILLINOIS, AND VICE CHAIRMAN, JOINT COMMITTEE ON TAXATION

RONALD A. PEARLMAN, CHIEF OF STAFF, JOINT COMMITTEE ON TAXATION

STUART L. BROWN, DEPUTY CHIEF OF STAFF, JOINT COMMITTEE ON TAXATION

MICHAEL W. COOK, CHIEF CLERK, JOINT COMMITTEE ON TAXATION

Mr. FAZIO. We will now take up the Joint Committee on Taxation. We are pleased to have the Honorable Dan Rostenkowski, the Vice Chairman of the Joint Committee on Taxation, here to present testimony, as well as Ron Pearlman, Chief of Staff. The budget request of the Joint Committee for fiscal 1991 is $5,450,000. Fourteen additional positions were originally requested, from 70 to 84. But, I understand that request has been reduced to thirteen.

Mr. Chairman, we will be happy to put your remarks in the record or you can read them.

FY 1991 BUDGET REQUEST

Mr. ROSTENKOWSKI. I have accompanying me Ron Pearlman; and the Deputy Chief of Staff of the Joint Committee, Stuart Brown.

Mr. Chairman, the Joint Committee's fiscal year 1991 budget request is $5,450,000, providing for an increase of $1,097,000 over the fiscal year 1990 appropriation, and for an increase of 13 authorized staff positions.

As you know, during the last five years, the Joint Committee budget has been focused on improvements to our computer system and office equipment.

Our intent was to have the physical capability to provide the Congress with revenue projections independently of any other agency or organization and, due in large part to the support of this subcommittee, we have achieved that goal.

We greatly appreciate your assistance in this area.

Our request for fiscal year 1991 includes only a nominal 0.5 percent increase in nonpersonnel funding to provide for anticipated price increases.

Unfortunately, as we emphasized improvements to nonpersonnel-related items, we failed to pay proper attention to personnel matters.

As salaries in the private sector have risen over the past few years we have experienced increased difficulty recruiting and retaining qualified certified public accountants, lawyers, and economists.

Mr. Chairman, I think that you and I have had conversations with respect to the problem that is not only a problem for the Joint

Committee, but also for the Ways and Means Committee, and for the Appropriations Committee. What is happening today is that the competition is so great that we are losing our estimators and our economists not only to the academia, but we are losing them to the influential law firms downtown.

Mr. FAZIO. And large accounting firms, too.

NEED FOR PAY COMPARABILITY

Mr. ROSTENKOWSKI. That is exactly right.

I think the thrust of my statement, Mr. Chairman, is that I have to have your help and the indulgence of our Members of this committee on staff salaries.

There is no question about it in my mind. We have to increase staff salaries and we have to bring up the starting salaries.

The one advantage we always had was that we could hire at a $4,000 or $5,000 salary over the educators or the academicians.

Now they are ahead of us.

Certainly there is a thirst for knowledge and prestige of having been able to put in your resume that you worked for the Joint Committee.

But, you know, Mr. Chairman, you have to put that bread on the table.

I have lost six people on Ways and Means and other members of the Joint Committee that have gone out because of the fact that they want to educate their children. They can't do it on a Government salary.

All I want to impress on you is the fact that we are going to have to pay salaries here that people can live on and yet make a sacrifice in public service.

Other than that, I will let my statement stand and let Mr. Pearlman answer any questions that you have.

[The statement of Congressman Rostenkowski follows:]

PREPARED STATEMENT OF THE HONORABLE DAN ROSTENKOWSKI, VICE CHAIRMAN, JOINT COMMITTEE ON TAXATION

BEFORE THE SUBCOMMITTEE ON LEGISLATIVE
OF THE
COMMITTEE ON APPROPRIATIONS
UNITED STATES HOUSE OF REPRESENTATIVES

January 30, 1990

Mr. Chairman, I appreciate the opportunity to appear before the Subcommittee today to discuss the fiscal 1991 budget request of the Joint Committee on Taxation.

Our request has two major components: first, the budget proposes increases in personnel expense to finance a proposed 13-person increase in the size of the Joint Committee on Taxation staff and second, the budget proposes increases in personnel expense to finance cost-of-living and merit increases for existing staff and to increase the starting salaries for certain new professional staff.

A. SUMMARY OF BUDGET REQUEST

The fiscal year 1991 budget request for the Joint Committee on Taxation of $5,450,000 represents a $1,097,000 (or 25.2%) increase over the fiscal year 1990 appropriation of 4,353,000 (as shown on table 1) and a 13-person (or 19%) increase in the number of authorized staff.

B. FISCAL YEAR 1991 APPROPRIATION REQUEST

NON-PERSONNEL EXPENSES

An increase of $27,000 (or an approximate 0.5% increase in funding) is requested for non-personnel items. Included in the requested increase is restoration of $19,000 removed from the fiscal year 1990 authorization for emergency drug funding. The remaining $8,000 represents anticipated price increases.

PERSONNEL EXPENSES

Foremost in our FY 1991 request is a proposed increase of $1,070,000 (or an approximate 24.5% increase in funding) for personnel costs. This increase is subdivided as follows:

6 new economists, 1 computer specialist, 1 revenue research analyst, and 2 secretaries	$484,000.00	(11.08%)
3.6% COLA (effective 01/01/90)	146,000.00	(03.33%)
1.3% COLA (effective 01/01/91)	66,000.00	(01.51%)
6% merit increases	182,550.00	(04.18%)
Increase in certain professional starting salaries	80,450.00	(01.83%)
2 Secretaries (for Senate offices)	45,000.00	(01.02%)
1 Investigator	66,000.00	01.51%)
Total increase in Personnel funding requested	$1,070,000.00	(24.46%)

The professional staff of the Joint Committee is comprised of Ph.D. economists and certified public accountants and lawyers with rather significant public accounting, private law practice or other government experience. As you know, salaries paid these individuals in the private for-profit and non-profit (educational) sectors have risen substantially over the past few years making it increasingly difficult for us to attract qualified individuals to the Joint Committee staff. Further, we have had a rather significant number of resignations from the staff over the past few years by people whom we view as long-term employees. In the last two years alone we have lost 15 veteran staff -- 9 in 1988 with an average length of stay of 5.4 years and 6 in 1989 with an average length of stay of 8 years.

Authorized staff level

The Joint Committee is authorized 70 staff positions for fiscal year 1990. The current composition of the staff is 21 Legislation Attorneys, 2 Accountants, 7 Economists-Analysts, 11 Economists-Revenue Analysts, 1 Computer Specialist, 4 Refund Attorneys, 2 Administrators, 2 Librarians, 13 Secretaries, 5 Clerks, and 2 Refund Secretaries.

As we previously have testified before the Subcommittee, in the past several years the Joint Committee has realized a substantial increase in workload. I have attached to this statement a listing of formal documents prepared and released by the Joint Committee staff during 1989 (table 2) and a listing of the number of requests for revenue estimates received by the Joint Committee in each of the past seven years (table 3). In addition, the Joint Committee staff assumes principal responsibility for preparation of Committee and Conference reports relating to tax legislation, which included the Budget Reconciliation Act of 1989. The Joint Committee economists are essential to the performance of the staff's responsibilities.

Economists

The staff's economists are divided into two groups: 11 comprise our revenue estimating staff and 7 are designated as policy analysts. The revenue estimators design, upgrade, and assemble the data for our revenue models. The revenue estimating staff is charged with the responsibility of estimating the budgetary effect of tax legislation. The policy analysts assist the revenue estimators in design of the revenue models. In addition, the policy analysts provide economic analyses of tax proposals, assist in designing tax proposals, and participate with staff attorneys in drafting statutory language and writing committee reports.

As table 3 indicates, the number of formal requests for revenue estimates we received for the period 1983 through 1989, inclusive literally exploded. During this same period, the number of the economists on the Joint Committee staff has remained constant (11 economists-revenue analysts in both 1983 and 1989 and 7 economists-analysts).

If the Joint Committee staff is to keep up with the increased level of requests for revenue estimates and other economic analyses, we must increase the number of authorized staff positions and provide the necessary funds to employ economists and support staff to fill these positions.

Our fiscal year 1991 budget requests authorization and funding for six additional economists, and four related support staff. The costs of these additions are:

6 Economists/Revenue Estimators (@ $59,000.00)	$354,000.00
1 Computer Specialist (computer hardware and software expertise)	45,000.00
1 Research Assistant to Revenue Estimators (computer literate)	40,000.00
2 Secretaries for the new professional positions (@ $22,500.00)	45,000.00
Total	$484,000.00

Cost of Living Adjustments and Merit Increases

We recognize that it will be impossible, at least on the short-term, to compete with private sector compensation and that employee turnover will continue at a higher rate than has been the case traditionally. However, if we are going to be able to retain qualified employees for at least reasonable periods of time, we must be able to provide reasonable salary increases.

Therefore, included in our request for increased personnel funding is $417,550 to provide for merit increases averaging 6% and to provide funds for the fiscal 1990 and projected fiscal 1991 cost of living adjustments.

Starting Salaries

We have found that our starting salaries are not competitive with those being offered in the private sector. We have found that our current starting salaries for Ph.D. economists are well below those being offered to entry-level teachers in academic institutions with whom we compete. We have communicated with eight universities and in each case, the starting salary exceeded our starting salary by approximately $7,000. We also have found that our starting salaries for lawyers is not competitive with non-governmental organizations. For example, in the Washington, D.C. area, top law firms are offering salaries of between $65,000 and $70,000 to first year associates. (The Joint Committee must hire lawyers with four to six years of experience and, therefore, must seek to attract individuals earning from $85,000 to $100,000 in private law practice).

In an effort to continue to be able to attract qualified, experienced professionals to the staff we include in our request $80,450 to enable us to increase professional starting salaries. This amount would enable us to increase our starting salaries for Ph.D. economists by approximately $7,000 and by approximately $5,000 for accountants and lawyers.

Payment of Overtime

Although the House of Representatives has not yet issued guidelines concerning the payment of overtime, it is my understanding we will be required to begin compensating staff members for overtime work performed effective the first day of fiscal year 1991. Because of the technical nature of the work of the staff of the Joint Committee, and the severely limited time periods we often require them to produce extremely complicated and lengthy documents, it is not uncommon for the staff to be in the office for extended periods of time, often around the clock and on weekends. It is impossible, at this time, to speculate what the effect of the regulations requiring these payments will have on our budget, but at the very least we will have to compensate members of our support staff. I caution the committee these costs may be substantial, and since funding for such payments has not been included in this appropriation request it is highly possible we may have to request supplemental funding to cover these costs.

Support staff

We renew our fiscal year 1990 request for 2 additional staff positions to provide for 2 secretaries needed to support our offices in the Hart and Dirksen Senate Office Buildings:

2 Secretaries (@ $22,500.00)

45,000.00

As you may recall last year this request was denied. Instead, in the Committee report on the Legislative Branch Appropriations Bill, 1990 (H.Rpt. 101-179), the Committee urged the Senate to consolidate the two separate offices. However, due to extreme space limitations in the Senate office buildings the joining of the two office suites has not been achieved, and a physical solution to our problem appears unlikely. Accordingly, we renew our request for two support staff positions in our request for fiscal year 1991.

Investigator

We also request authorization to add the following new professional position to provide for the hiring of an investigator with a tax background:

1 Investigator

$60,000.00

This position is requested to enable oversight of the Internal Revenue Service consistent with the investigative authority vested in the Joint Committee on Taxation by section 8022(1)(B) of the Internal Revenue Code.[1] Such a position will provide the Congress with additional insight into the operations of the Internal Revenue Service in an effort to prevent problems similar to those experienced at other Federal agencies.

Finally, we find we are not, at this time, in need of an additional staff assistant position (as requested in my October 18, 1989 letter to the Clerk of the House) and we withdraw our request for that authorization. However, we do continue to require the additional $20,000 and have reallocated that amount to finance the increase in starting salaries as discussed above.

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[1] "(B) Administration. To investigate the administration of such taxes by the Internal Revenue Service or any executive department, establishment, or agency charged with their administration..." Sec. 8022(1)(B) of the Internal Revenue Code of 1986.

Mr. Chairman, as the Congress continues to search for ways to balance the budget and eliminate the deficit, we will continue to rely on the staff of the Joint Committee on Taxation to provide us with their technical support. During the first session of this Congress the staff has experienced unprecedented requests for assistance, and it is obvious that these demands will continue. It is imperative that the Joint Committee be adequately staffed to respond to the needs of the Congress in a timely manner. I respectfully urge the Members of the Subcommittee to favorably respond to the Joint Committee's requests for funding and authorized staff positions.

TABLE 1

JOINT COMMITTEE ON TAXATION

Comparison of Fiscal 1990 Approrpriation and Fiscal 1991 Budget Request

	1990 Appropriation	1991 Estimate (Budget reqeust)
Appropriation or estimate	$ 4,372,000	$ 5,450,000
Less: Emergency Drug Funding	(19,000)	....
Total	$ 4,353,000	$ 5,450,000
Personnel Expense	$ 4,051,000	$ 5,121,000
Subtotal	$ 4,051,000	$ 5,121,000
Travel	$ 4,000	$ 4,000
Rent, communications, utilities	38,000	39,000
Other services	45,000	46,000
Supplies and materials	164,000	168,000
Equipment	51,000	72,000
Total	$ 4,353,000	$ 5,450,000

[TABLE 2]

JCS-89 DOCUMENTS

JCS-1-89	Federal Income Tax Aspects Of Corporate Financial Structures Scheduled for Hearings Before the Senate Committee on Finance on January 24-26, 1989 and the House Committee on Ways and Means on January 31 and February 1-2, 1989	January 18, 1989
JCS-2-89	Schedule Of Present Federal Excise Taxes (As Of January 1, 1989)	January 31, 1989
JCS-3-89	Current Tax Rules Relating To Financially Troubled Savings And Loan Associations Scheduled for Hearings Before the House Committee on Ways and Means on February 22 and March 9, 1989	February 16, 1989
JCS-4-89	Estimates Of Federal Tax Expenditures For Fiscal Years 1990-1994 Prepared for the Committee on Ways and Means and the Committee on Finance	February 28, 1989
JCS-5-89	Listing Of Selected Federal Tax Legislation Reprinted In The IRS Cumulative Bulletin, 1913-1987	March 2, 1989
JCS-6-89	Summary Of Revenue Provisions In President Bush's Fiscal Year 1990 Budget Proposal	March 3, 1989
JCS-7-89	Tax Treatment Of Capital Gains And Losses Scheduled for a Hearing Before the Senate Committee on Finance on March 14, 1989	March 11, 1989
JCS-8-89	Description Of Expiring Tax Provisions	March 13, 1989
JCS-9-89	Description Of H.R.1864 Relating To Simplification Of Section 89 Nondiscrimination Rules Applicable To Certain Employee Benefit Plans Scheduled for a Hearing Before the Committee on Ways and Means on May 2, 1989	April 25, 1989
JCS-10-89	Description Of Certain Bills And Discussion Of Issues Relating To Section 89 Nondiscrimination Rules Applicable To Certain Employee Benefit Plans Scheduled for a Hearing Before the Committee on Finance on May 9, 1989	May 3, 1989

JCS-11-89	Description Of Tax Bills: S.353 (Educational Savings Bonds); S.442 (Value Added Tax); S.659, S.838, S.849(Estate Freezes); And S.800 (Moratorium On Certain State Tax Laws) Scheduled For a Hearing Before the Senate Committee on Finance on May 17, 1989	May 11, 1989
JCS-12-89	Present Law And Issues Relating To The Low-Income Housing And Rehabilitation Tax Credits Scheduled For Hearings Before the Subcommittee on Select Revenue Measures of the Committee on Ways and Means on May 23, 1989 and June 6, 1989	May 12, 1989
JCS-13-89	Present Law And Issues Relating To The Targeted Jobs Tax Credit (H.R.452, H.R.815, And H.R.2098) Scheduled For a Hearing Before the Subcommittee on Select Revenue Measures of the Committee on Ways and Means on June 6, 1989	May 24, 1989
JCS-14-89	Description Of H.R.1761 Relating To Simplification Of The Corporate Minimum Tax Scheduled For a Hearing Before the Subcommittee on Select Revenue Measures of the House Committee on Ways and Means on June 8, 1989	May 25, 1989
JCS-15-89	Present Law And Issues Relating To Employer-Provided Retiree Health Insurance Scheduled for a Hearing Before the Subcommittee on Oversight of the Committee on Ways and Means on June 14, 1989	June 12, 1989
JCS-16-89	Description Of Enterprise Zone Proposals (H.R.6 And Administration Proposal) Scheduled for Hearings Before the House Committee on Ways and Means on October 17-18, 1989	October 14, 1989
JCS-17-89	Taxation Of Life Insurance Companies Scheduled for a Hearing Before the Subcommittee on Select Revenue Measures of the Committee on Ways and Means on October 19, 1989	October 16, 1989
JCS-18A-89	Comparison Of Differing Revenue Provisions Of The Revenue Reconciliation Act Of 1989 (H.R.3299) As Passed By The House And The Senate Prepared for the Conferees by the Staff of the Joint Committee on Taxation	October 24, 1989

JCS-19-89 Tax Rules Relating To Puerto Rico Under Present Law And Under Statehood, Independence, And Enhanced Comminwealth Status (S.712, Puerto Rico Status Referendum Act) Scheduled for Hearings Before the Senate Committee on Finance on November 14-15, 1989

November 14, 1989

JCX-DOCUMENTS

JCX-1-89	Errata For JCS-1-89 -- Federal Income Tax Aspects Of Corporate Financial Structures	January 18, 1989
JCX-2-89	Estimate Of President's Budget Proposal For A Reduction In Taxes On Capital Gains	February 23, 1989
JCX-3-89	Statement of Ronald A. Pearlman Chief of Staff Joint Committee on Taxations Before the Senate Committee on Finance	March 14, 1989
JCX-4-89	Estimated Budget Effects Of Revenue Provisions In President Bush's Fiscal Year 1990 Budget Proposal	April 7, 1989
JCX-5-89	Preliminay Estimates Of The Revenue Effects Of Permanently Extending Various Expiring Tax Provisions	April 7, 1989
JCX-6-89	Issues Relating To The Use Of Pension Plan Assets In Leveraged Buyout Transactions Scheduled for a Hearing Before the Subcommittee on Oversight of the Committee on Ways and Means on April 27, 1989	April 21, 1989
JCX-7-89	Present Law And Background Relating To H.R.1659 (Airport Security Act Of 1989)	May 18, 1989
JCX-8-89	Summary Of Tax Provisions Of Ways And Means Committee Amendment To H.R.1278 ("The Financial Institutions Reform, Recovery And Enforcement Act Of 1989")	May 18, 1989
JCX-9-89	Overview Of Present Law And Estimated Budget Effects Of The Medicare Catastrophic Insurance Program And Description Of Possible Premium Options Scheduled for a Hearing Before the Senate Committee on Finance on June 1, 1989	May 25, 1989
JCX-10-89	Errata Sheet For JCX-9-89	May 31, 1989

JCX-11-89	Description Of H.R.2528 (Improved Penalty Administration And Compliance Tax Act Of 1989) Scheduled for a Hearing Before the Subcommittee on Oversight of the House Committee on Ways and Means on June 6, 1989	June 5, 1989
JCX-12-89	Description Of H.R.1659 (Aviation Security Act Of 1989)	June 7, 1989
JCX-13-89	Description Of Tax Proposals Relating To Tax Credit For Child Care And Certain Health Insurance Premiums, Simplification Of Section 89 Nondiscrimination Rules Applicable To Certain Employee Benefit Plans (S.1129), Repeal Of Special Rules Applicable To Financially Troubled Financial Institutions, And Extension Of Telephone Excise Tax Scheduled for a Hearing Before the Senate Committee on Finance on June 12, 1989	June 9, 1989
JCX-14-89	Extension Of Targeted Jobs Tax Credit Scheduled for Markup by the Ways and Means Subcommittee on Select Revenue Measures	June 9, 1989
JCX-15-89	Rehabilitation Tax Credit Scheduled for Markup by the Ways and Means Subcommittee on Select Revenue Measures	June 9, 1989
JCX-16-89	Extension And Modification Of The Low-Income Housing Tax Credit Scheduled for a Markup by the Ways and Means Subcommittee on Select Revenue Measures	June 9, 1989
JCX-17-89	H.R.1761: Corporate Minimum Tax Scheduled for Markup by the Ways and Means Subcommittee on Select Revenue Measures	June 9, 1989
JCX-18-89	H.R.1761: Corporate Minimum Tax Scheduled for Markup by the Ways and Means Subcommittee on Select Revenue Measures--Possible Options	June 13, 1989
JCX-19-89	H.R.1761: Corporate Minimum Tax Scheduled for Markup by the Ways and Means Subcommittee on Select Revenue Measures--Addendum to Possible Options	June 13, 1989

JCX-20-89	Explanation Of Tax Proposals Relating To Tax Credit For Child Care And Certain Health Insurance Premiums, Simplification Of Section 89 Nondiscrimination Rules Applicable To Certain Employee Benefit Plans (S.1129), Extension Of Telephone Excise Tax, And Estimated Tax Payment Requirements Of S Corporations Scheduled for Markup by the Senate Committee on Finance on June 13, 1989	June 13, 1989
JCX-21-89	Estimated Revenue Effects Of Tax Proposals (Proposals for Senate Finance Committee Markup--June 13, 1989)	June 13, 1989
JCX-22-89	Chairman's Amendments To S.1129	June 13, 1989
JCX-23-89	Penalties Relating To Foreign Tax Provisions	June 13, 1989
JCX-24-89	Description Of Tax Bills Relating To Tax For Oil Spill Liability Trust Fund (S.1066) And Deduction For Oil Spill Cleanup Costs (S.771) Scheduled for a Hearing Before the Senate Committee on Finance on June 21, 1989	June 19, 1989
JCX-25-89	Miscellaneous Reconciliation Issues Proposed By The Administration And Various House Committees Relating To Tax Treatment Of Overseas Private Investment Corporation, Exclusions For Certain Overseas Allowances Received By Defense Department Personnel, Nonrecognition Of Capital Gains For Divestments Of Property Subject To Federal Ethics Requirements, And Petroleum Tax For Oil Spill Liability Trust Fund For Consideration by the Committee on Ways and Means	June 20, 1989
JCX-26-89	Description Of Miscellaneous Reconciliation Proposals By The Administration And Various House Committees Relating To Tax Treatment Of Overseas Private Investment Corporation, Exclusions For Certain Overseas Allowances Received By Defense Department Personnel, Nonrecognition Of Capital Gains For Divestments Of Property Subject To Federal Ethics Requirements, And Petroleum Tax For Oil Spill Liability Trust Fund For Markup Consideration by the Committee on Ways and Means on June 29, 1989	June 28, 1989

JCX-27-89	Description Of Technical Corrections Proposed To The Technical And Miscellaneous Revenue Act Of 1988, The Revenue Act Of 1987, And Certain Other Pension-Related Tax Legislation For Consideration by the Committee on Ways and Means	June 28, 1989
JCX-28-89	Description Of Revenue Reconciliation Proposal By Chairman Rostenkowski Scheduled for Markup by the House Committee on Ways and Means on July 11, 1989	July 11, 1989
JCX-29-89	Estimated Budget Effects Of Revenue Reconciliation Proposal -- Chairman's Mark	July 11, 1989
JCX-30-89	Possible Modifications Of H.R.1864 Relating To Nondiscrimination Requirements Under Section 89	July 11, 1989
JCX-31-89	Description Of Proposal By Chairman Rostenkowski Relating To Child Care And The Earned Income Tax Credit, Expiring Tax Provisions, Medicare Catastrophic Insurance Provisions, And Certain Other Revenue Provisions For Consideration by the Committee on Ways and Means	July 18, 1989
JCX-32-89	1989 Reconciliation--Additional Items--Revenue Estimates	July 18, 1989
JCX-33-89	Public Hearing On Increase In The Public Debt Limit Before the Committee on Finance on July 19, 1989	July 19, 1989
JCX-34-89	Present Law And Proposals Relating To Employee Stock Ownership Plans (Including S.1303 And S.1171) Scheduled for a Joint Hearing Before the Subcommittees on Taxation and Debt Management and Private Retirement Plans and Oversight of the Internal Revenue Service of the Senate Committee on Finance on July 19, 1989	July 19, 1989
JCX-35-89	Present Law And Proposals Relating To Employer-Provided Retiree Health Insurance Scheduled for a Joint Hearing Before the Subcommittees on Taxation and Debt Management and Private Retirement Plans and Oversight of the Internal Revenue Service of the Senate Committee on Finance on July 19, 1989	July 19, 1989

JCX-36-89	Description Of S.1041 Relating To Capital Gain On Transfer Of Farm Property In Discharge Of Certain Farm Indebtedness Scheduled for a Hearing Before the Subcommittee on Energy and Agricultural Taxation of the Senate Committee on Finance on July 28, 1989	July 21, 1989
JCX-37-89	Percentage Distribution Of The Aggregate Tax Chance Of A Capital Gains Exclusion And A Proposal To Index The Cost Basis Of Certain Capital Assets, 1985	July 24, 1989
JCX-38-89	Distributional Effect Of A 30% Exclusion For Long-Term Capital Gains	July 24, 1989
JCX-39-89	To Increase The Public Debt Limit (Before the Committee on Ways and Means on July 27, 1989)	July 27, 1989
JCX-40-89	Description Of S.828 (Enhanced Oil And Gas Recovery Tax Act Of 1989) Scheduled for a Hearing Before the Subcommittee on Energy and Agricultural Taxation of the Senate Committee on Finance on August 3, 1989	August 1, 1989
JCX-41-89	Chairman Rostenkowski's Modification To Revenue Offset Provisions Of The Chairman's Mark Dated July 18, 1989	August 4, 1989
JCX-42-89	1989 Revenue Reconciliation--Chairman Rostenkowski's Proposed Modification--Revenue Table	August 4, 1989
JCX-43-89	Distributional Effect Of Chairman Rostenkowski's Capital Gains Proposal	August 4, 1989
JCX-44-89	Preliminary Estimates Of Budget Effects Of The Revenue Reconciliation Proposal	August 4, 1989
JCX-45-89	Present Law And Possible Revenue Options Relating To The Medicare Catastrophic Insurance Program Scheduled for a Markup Before the Senate Committee on Finance on September 7, 1989	September 7, 1989
CX-46-89	Ways And Means Proposals On EITC/Supplemental EITC--Revenue Numbers for Markup	September 7, 1989

JCX-47-89	Chairman Rostenkowski's Proposed Amendments And Revisions To Previous Estimates	September 13, 1989
JCX-48-89	Chairman Rostenkowski's Proposed Amendments And Revisions To Previous Estimates	September 14, 1989
JCX-49-89	Chairman Rostenkowski's Modification To Certain Provisions Of The Chairman's Mark Dated July 18, 1989	September 14, 1989
JCX-50-89	Additional Technical Corrections	September 14, 1989
JCX-51-89	Increase In Joint Committee Refund Review Threshold	September 14, 1989
JCX-52-89	Estimates Of Revenue Effect Of Items Reported Pursuant To Budget Reconciliation Instructions--Title XI	September 18, 1989
JCX-53-89	Detail Of Budget Effects Of Title X And XI Items Including Both Revenues And Outlays	September 18, 1989
JCX-54-89	Description Of S.1682 Relating To Individual Retirement Accounts Scheduled for a Hearing Before the Senate Committee on Finance on September 29, 1989	September 29, 1989
JCX-55-89	Description Of H.R.1150 (Utility Ratepayer Refund Act Of 1989) And H.R.2493 (Utility Customer Refund Act Of 1989) Scheduled for a Hearing Before the Committee on Ways and Means on October 4, 1989	September 29, 1989
JCX-56-89	Description Of Technical Corrections Proposed To The Technical And Miscellaneous Revenue Act Of 1988, The Revenue Act Of 1987, And Certain Other Tax Legislation For Consideration by the Senate Committee on Finance	October 2, 1989
JCX-57-89	Description Of Revenue Reconciliation Proposal Part One: Revenue-Raising Provisions Scheduled for Markup by the Senate Committee on Finance on October 3, 1989	October 3, 1989

JCX-58-89	Description Of Revenue Reconciliation Proposal Part Two: Expiring Provisions, Child Care Iniative, And IRAs Scheduled For Markup by the Senate Committee on Finance on October 3, 1989	October 3, 1989
JCX-59-89	Description Of Revenue Reconciliation Proposal Part Three: Miscellaneous Tax Provisions Scheduled for Markup by the Senate Committee on Finance on October 3, 1989	October 3, 1989
JCX-60-89	Revenue Effects Of A Possible Revenue Reconciliation Proposal for Senate Finance Markup	October 3, 1989
JCX-61-89	Estimated Revenue Effects Of Items Reported Pursuant To Budget Reconciliation Instructions	October 11, 1989
JCX-62-89	Description Of Miscellaneous Tax Proposals Scheduled for a Hearing Before the Subcommittee on Select Revenue Measures of the Committee on Ways and Means on October 12, 1989	October 6, 1989
JCX-63-89	H.R. 2493 (Utility Customer Refund Act of 1989) Scheduled for Markup by the House Committee on Ways and Means on October 11, 1989	October 10, 1989
JCX-64-89	Allow Certain Cotton Warehouses To Use The Cash Basis Of Accounting (Item added to JCX-62)	October 11, 1989
JCX-65-89	Estimated Revenue Effects Of Items Intended To Meet Budget Reconciliation Instructions	October 13, 1989
JCX-66-89	Description Of Additional Miscellaneous Tax Proposals Scheduled for a Hearing Before the Subcommittee on Select Revenue Measures of the House Committee on Ways and Means on October 26, 1989	October 20, 1989
JCX-67-89	Overview Of Tax Policy Issues Related To The Air Transportation Industry And Description Of H.R.2354 Scheduled for a Hearing Before the Subcommittee on Oversight of the House Committee on Ways and Means on October 24, 1989	October 23, 1989
JCX-68-89	Treatment Of Investment Expenses Under The Individual Alternative Minimum Tax -- Addendum to JCX-66-89	October 23, 1989

JCX-69-89	Definition Of Tar Sands For Nonconventional Fuels Production Credit -- Addendum to JCX-66-89	October 25, 1989
JCX-70-89	Conference Comparison Of H.R.3299 -- Estimated Revenue Effects Of Revenue Reconciliation Provisions (Title XI Of The House Bill And The Senate Amendment	October 26, 1989
JCX-71-89	Revenue Effects Of House Offer Of November 9, 1989	November 9, 1989
JCX-72-89	Revenue Effects Of Senate Counteroffer Of November 14, 1989	November 14, 1989
JCX-73-89	Possible Conference Agreement On Revenue Provisions Of H.R.3299	November 17, 1989
JCX-74-89	Estimated Revenue Effects Of Conference Agreement On Revenue Provisions Of H.R.3299	November 21, 1989

Committee reports and related explanatory material worked on by the staff of the Joint Committee on Taxation during 1989

(1) Ways and Means and Finance Committee report explanations of the Revenue Reconciliation Act of 1989 (H.R. 3299 and S. 1750);

(2) Conference report on Revenue Reconciliation Act of 1989;

(3) Explanation of Medicare premium and surtax portions of the Medicare Catastrophic Coverage Repeal Act of 1989 (H.R. 3607 and S. 1726);

(4) Finance Committee report and Senate Flooor amendments relating to child care/health insurance/earned income tax credits and extension of the telephone excise tax (S. 5 as passed by the Senate and S. 1185 as reported by the Finance Committee);

(5) Explanatory material for the Finance Committee and Senate Floor amendments relating to the increase in the debt limit and repeal of Internal Revenue Code section 89 (H.J. Res. 280); and

(6) Ways and Means Committee report on revenue provisions Financial Institutions Reform, Recovery and Enforcement Act of 1989 (H.R. 1278).

[TABLE 3]

Joint Committee on Taxation
Requests for Revenue Estimates
(1983 through 1989)

YEAR	NUMBER OF REQUESTS
1983............	150
1984............	120
1985............	348
1986............	474
1987............	420
1988............	900
1989............	1,290

Mr. FAZIO. First of all, you and I generally agree on this issue. I had a chance to talk to Ron Pearlman a couple of weeks ago, and, that, in fact, stimulated a discussion in the leadership meeting.

We talked about not only the top staff and the lawyers who are leaving, but, as Mr. Rostenkowski says, the analysts, estimators and economists and staff in the middle ranks who leave government service because they are very marketable in the private sector.

In past years, the experienced staff of 15 or 20 years were always available.

It is a new era. The turnovers will probably continue. We must try to handle the obvious inadequacies in salaries.

NEED FOR ADDITIONAL STAFF

You have asked for relief for your staff from their work burden. You have requested 13 additional positions, most of which would be hired to perform revenue estimating?

Mr. PEARLMAN. That is correct.

Six economists and four support staff, or two people in addition to the economists (technical people), and then secretaries.

They are all aimed at the economist's functions.

The Chairman knows what the pressure of estimating is probably better than I. That is a desperate need for us.

Mr. FAZIO. What is the source of the work demand? Are Members introducing more legislation?

Mr. ROSTENKOWSKI. Well, Mr. Chairman, naturally our colleagues are becoming more and more aware of the fact that in most instances every new project you are embarking on has to be paid for.

They want to know how much revenues or where the revenues will come from.

In my committee alone, I insist that for any program that is going to be initiated, I want to know how you are going to pay for it.

It is not the Ways and Means Committee or the Appropriations Committee. It is every committee and every Member of Congress that is putting a demand on Mr. Pearlman and his staff's time. I can understand.

In a lot of instances, we lay off legislation by having studies and lay them on the shelves.

But, I think that Government has to come up to speed and we are going to have to pay people to give us the best estimates and the best reasoning for legislation that we are going to enact.

Mr. FAZIO. Can you solicit assistance from other agencies like the IRS or Treasury?

We know there will be peaks in the workloads.

Mr. PEARLMAN. On the economist side, frankly, the answer is no. The Treasury does revenue estimates for the Administration.

Our estimators work with Treasury, compare notes. Oftentimes they will share responsibilities.

One will agree to go down this road and then share the data. When it gets down to producing an estimate and what comes out of the Congress, what we report to the Congress, I think it is fairly important that those people be employees of Congress.

We have had problems, for example, with recent estimates where there were rather wide divergences. I think the Congress has to have its own capability.

I think it is important to point out that what we are asking here on the economist side might seem dramatic in a single year, but I think it is important to look at the economist staff over a long period of time.

We are working with the same number of economists today that we worked with 10 years ago; 10 years ago.

We are all familiar with the amount of tax legislation that has come about in the eighties.

Where we were doing 150 estimates in 1980, we did 1,290 plus last year.

We are working with the same number of people. There is a breaking point beyond which they can't deal with the volume.

Mr. FAZIO. A lot of individuals have gone elsewhere, not just because the money is better, but the working conditions are better, too. They don't have to sit in there long days grinding out revenue estimates which can be a quick way to reorienting your year.

Mr. PEARLMAN. We lost the second-most senior member of our revenue-estimating staff last year who went to State Government and took a salary reduction because he wanted to leave the pressure of the Joint Committee revenue estimating staff.

Mr. FAZIO. He didn't go to a private firm. He decided he wanted public service, but he didn't want to work under sweat-shop conditions, so to speak.

Mr. PEARLMAN. I think our people—I don't want to misrepresent them—the Chairman has been up there and has seen them operate under pressure. They will work. They work all night.

It is not uncommon for our staff to be there 24, 48 hours straight, sleep in the office.

They will put in the effort, but there is a point beyond which you simply can't push people.

We are at a serious point on the economist's side. I am not saying I am not concerned about the workload of our lawyers. I have to worry about that, too.

We have a particular problem with the economists financially; clearly lawyers are better off.

I don't want the subcommittee to think that this budget brings people up to competitive private sector salaries. That is not the case at all.

OVERTIME PAY FOR CONGRESSIONAL STAFF

Mr. ROSTENKOWSKI. There is also the agony, Mr. Chairman, of sometimes not satisfying in your estimates what the solicitor expected. Sometimes there is a great deal of disappointment.

I would also like to make the committee cognizant of the fact that we have passed legislation here with respect to overtime pay.

I think at some future time I am going to have to come back and visit with this committee because this is not taken into consideration in——

Mr. **Fazio**. We heard about this yesterday when the Clerk came before us. We wonder how we are going to handle overtime. There is regulatory relief we might be able to obtain that relates to our confidential employees.

We may find the application of the legislation not quite as broad as was initially thought.

We don't mind it being applied to service workers, but professional staff is another category.

How do you handle your committee staff that works 10-20 hours a day for extended periods of time?

NEED FOR ADDITIONAL OFFICE SPACE

We had the desire to help you last year when the issue was more defined as needing additional support staff for a second office in the Senate.

Where are you going to locate these new people if we find the money to provide them?

You have a serious space problem.

Mr. **Pearlman**. That is a space problem for us. We will have to double people up and triple them up. Everyone in our office now shares an office.

I am the only exception. No one else is in a private office.

Most of our offices are divided with bookcases and file cabinets.

We are no different than any other office on the Hill. We can't in good conscience request additional space.

We understand the pressures. We will have to squeeze more people in the same offices.

Mr. **Fazio**. When you go back to the Chairman, Senator Bentsen, see what you can do to get a little more room on the Senate side here. They would love to have more of your people over there and you need more space.

If we are going to appropriate money to hire more technical staff, it seems ridiculous to have duplicate clerical staff to answer phones and type.

Mr. **Pearlman**. We will do our best on the Senate side, and I think Senator Bentsen is committed to doing his best.

Mr. **Fazio**. Thank you very much.

Mr. Lewis?

WORKLOAD REMAINS CONSISTENTLY HIGH

Mr. **Lewis**. Recognizing that your workload flows with the congressional workload, I know you can come back to Washington when we are in recess and shoot cannons down the halls. I assume to some extent you have a bit of that problem as well.

Do you work with rotating schedules?

Mr. **Pearlman**. Mr. Lewis, we really don't. That may sound surprising to you, but I think I can document that.

I mean, our people worked all of December on things we knew were coming up this year.

Let's just use the revenue estimators as an example. They reprogrammed computers in December. They spent time in December trying to get computers ready, which means updating the data, putting new CBO base-line assumptions in so we could be ready in January.

Today we are overwhelmed.

In a sense, the tax-writing activity, the legislative activity has not started in ernest yet, but we are overwhelmed.

Today we are getting calls, "where are the estimates on the President's tax initiatives?"

In December, we sent letters out to every Member of Congress who had requested an estimate from us, pleading with them to withdraw their request.

We had 670 pending at the end of the year. People were very cooperative. They didn't all withdraw, but they all wrote back.

We got responses from, I would say, 80 percent of them.

Everyone who responded said, "Well, I don't need this one."

Everyone handled it wonderfully. That is what our guys have been doing.

So we really do not have the peaks and valleys. That is not to say they are working 24 hours a day, you know, every day of the year.

Mr. **Fazio**. You have many peaks. You don't have enough valleys.

Mr. **Pearlman**. It is a much more sustained operation. The Ways and Means Committee had a major hearing last week on foreign investment in the United States.

We produced an 80-page Government Printing Office-printed hearing pamphlet for that hearing. That was done over the Christmas holidays.

Mr. **Lewis**. Mr. Chairman, I am going to be traveling with the Secretary of the Treasury on Sunday, at which time I hope to have some discussion of our proposed war on drug bond effort and how we will pay for it.

I should have that answer for you by the time you get back.

Mr. **Fazio**. Are they giving you revenue estimates on that?

Mr. **Rostenkowski**. Just by a little ten-cent stamp. That is all.

Mr. **Fazio**. Are there any other questions?

Thank you, Mr. Chairman.

Thank you, Ron.

TUESDAY, JANUARY 30, 1990.

CONGRESSIONAL BUDGET OFFICE

WITNESSES

ROBERT D. REISCHAUER, DIRECTOR

ROBERT W. HARTMAN, ACTING DEPUTY DIRECTOR

STANLEY L. GREIGG, DIRECTOR, OFFICE OF INTERGOVERNMENTAL RELATIONS

ALFRED B. FITT, GENERAL COUNSEL

JAMES L. BLUM, ASSISTANT DIRECTOR, BUDGET ANALYSIS DIVISION

POLLY E. HODGES, BUDGET AND FINANCE OFFICER

DAVID M. DELQUADRO, PERSONNEL OFFICER

DANIEL F. ZIMMERMAN, CHIEF, SYSTEMS DEVELOPMENT AND RESEARCH UNIT

MARK G. DESAUTELS, ASSISTANT FOR INTERGOVERNMENTAL RELATIONS

INTRODUCTION OF CBO DIRECTOR

Mr. FAZIO. We would like to welcome Mr. Robert D. Reischauer, who was named Director of CBO in March of 1989.

Welcome back, Bob. We have all known Bob since his previous stint as Deputy Director at CBO.

As is customary, we are going to insert your biographical sketch in the record.

[The biographical sketch of Mr. Reischauer follows:]

ROBERT D. REISCHAUER

Robert D. Reischauer is the Director of the Congressional Budget Office (CBO). In 1975, he helped Alice Rivlin, the first director, set up this office and then served as the Assistant Director for Human Resources and Community Development and later as the Deputy Director. In 1981 Mr. Reischauer left CBO to become the Senior Vice President of the Urban Institute. After 5 years in this position, he joined the Economic Studies Program of the Brookings Institution where he was a Senior Fellow until he was appointed to his current position in early 1989.

Mr. Reischauer is an economist who has written extensively on federal budget policy, Congress, social welfare issues, education, and state and local fiscal problems.

Mr. FAZIO. I want to say in addition, though, because I see a number of our friends here, I would like to compliment the team at CBO for the excellent job it did for a portion of last year without permanent leadership.

People who filled in for you were outstanding and the agency as a whole operated efficiently and produced as the Congress would expect despite the political problems that were encountered in agreeing on the appointment. It was impossible to bring together the right coalition to name a new CBO Director for awhile.

That was the Congress' failing, not the agency's. And I would like to say to everyone who worked in the interim to keep productivity high, thank you on behalf of those people who complicated your lives.

FISCAL YEAR 1991 BUDGET REQUEST

You are requesting $21,723,000, and 226 positions in fiscal year 1991, an increase of $2,494,000 or 13 percent over the enacted 1990 appropriation after sequestration and the drug war reductions are factored out.

No new positions are requested.

INTRODUCTION OF STAFF

Bob, I would appreciate it if you would place your statement in the record and proceed with your summary. But please, before you do that, introduce the staff that you have brought with you, many of whom we have known for years.

It is always nice to say hello to them again.

Mr. REISCHAUER. Let me introduce Stanley Greigg, Director of our Office of Intergovernmental Relations; Mark Desautels, who assists him; Polly Hodges, Budget Director; Alfred Fitt, General Counsel; David Delquadro, our Personnel Director who just switched over from being an analyst at CBO when our last personnel director left. We are happy to have him in that new position.

We also have Dan Zimmerman, who is responsible for one very important element of the computer activity at CBO; Jim Hearn, who is an Analyst in the Budget Analysis Division; along with Jim Blum, the Director of our Budget Analysis Division, which does the scorekeeping, cost estimates, and the five-year projections, and represents over 40 percent of the activity of the Budget Office; and Bob Hartman, who is the Acting Deputy Director at this point.

Mr. FAZIO. Acting over there, is that your honorable profession?

Mr. REISCHAUER. There is more acting than there is actual.

We also have Wes Jenkins, who is responsible for the computer applications in the Budget Analysis Division.

I would like to thank you for your kind words of welcome and point out that this is my first time as the Director appearing in this room, but fifth time appearing before this committee in one capacity or another.

This marks the fifteenth year in which CBO has attempted to provide the Congress with clear, concise budgetary and economic information and provide it in a timely manner. Over the past decade, the demand for CBO's services has increased in a very significant and steady way. I take this to be a measure that we are doing the right thing and being of help to the Congress. The budget I am seeking today represents what I think is the minimum amount that is needed to allow CBO to continue performing the tasks placed before it in the manner that the Congress has come to expect.

CBO ECONOMIC AND BUDGET FORECAST

Before I go into our request in a summary fashion, I thought I would share with the committee CBO's new economic and budget forecast, which will be released tomorrow at a hearing of the House Budget Committee. I would also like to say a few words about the extraordinary demands placed on CBO during fiscal year 1989.

CBO's new budget projections suggest the deficit we experienced in fiscal year 1989—namely, $152 billion—will fall to about $138 billion for the current fiscal year. We expect that the figure for 1991 will remain at $138 billion if no changes are made in budget policy.

That amount, of course, is some $74 billion more than the target contained in the Balanced Budget Act, which is $64 billion for that year.

Mr. FAZIO. Are you getting this down, Mr. Lewis?

Mr. REISCHAUER. In the next few years, meaning through 1993, we do not expect the deficit to fall substantially. In fact, for 1993, which is the year in which the budget is supposed to be balanced under the Gramm-Rudman-Hollings strictures, we project a deficit of about $141 billion.

Mr. FAZIO. So it goes up?

Mr. REISCHAUER. For all practical purposes, it just bops around somewhere between $135 billion and $140 billion, and no great changes occur through 1993.

Mr. FAZIO. This is assuming a lower growth rate, but a stable growth rate? Is that what you are saying?

Mr. REISCHAUER. In terms of economics?

Mr. FAZIO. Yes.

Mr. REISCHAUER. Our new economic forecast expects the economy to slow down to about 1.8 percent real growth in 1990 and then pick back up to 2½ percent in 1991 and remain at about 2½ percent through the 1995 projection period. That is about the rate at which we think the productive capacity in the economy is expanding. We are operating at pretty much full capacity through this projection period.

Mr. FAZIO. These estimates you have given us are calculated with the increasing contributions of trust funds?

Mr. REISCHAUER. Yes, they add in the Social Security surplus, offsetting the deficit in the balance of the budget.

Mr. FAZIO. If we were to subtract those, what would the general fund deficit be?

Mr. REISCHAUER. It is $204 billion for 1990, $212 billion for 1991, and then it rises to $246 billion by 1995, meaning that the Social Security surplus, which is expected to be $66 billion in this year and $74 billion next year, will rise to $128 billion by 1995.

Mr. LEWIS. Bob, for fun, since we have a new director, would you, for the record, insert in a summary form what the CBO has told us about expected growth in the economy over the last ten years, how close CBO was in each of those years in terms of what actually happened?

Mr. FAZIO. Show the OMB forecasts, too. It would be kind of fun. I agree with you, Mr. Lewis.

[The information follows:]

COMPARISON OF CBO/OMB FORECASTS FOR REAL GNP

The attached table shows the CBO and OMB winter forecasts of real GNP growth for the years 1978 through 1989. For each of these years, the table shows a current-year forecast (that is, published early in the same calendar year) and a one-year-ahead forecast (that is, published early in the previous calendar year).

The forecast errors by CBO and OMB were largest during years in which the economy experienced a turning point (the years 1982-1985). Similarly large errors were recorded during this period by private-sector forecasters as well.

Two criteria by which forecasts are typically judged are: (1) bias and (2) accuracy.

Bias. Calculations of mean errors for the CBO and OMB forecasts over the 1978-1989 period indicate that neither forecaster has produced forecasts that are biased in a statistically significant sense. For both CBO and OMB, the average errors in current-year forecasts are very close to zero (-0.1 and 0.1 for CBO and OMB, respectively). For the forecasts of one year ahead, CBO records a mean error that is smaller than that for OMB. But this difference is slight and as, with each of the bias measures, is very small compared with the dispersion of the forecast errors. Neither forecaster has exhibited statistically significant bias.

Accuracy. CBO's forecasts for real growth in the current year have been marginally more accurate than those of OMB (that is, both accuracy measures reported in the table--mean absolute error and the root-mean-square error--are slightly smaller for CBO than for OMB). Errors for CBO's forecasts for one year ahead have been more accurate than OMB's. In all but two of the twelve years OMB's real growth forecast errors have been larger (in absolute value) than those of CBO.

COMPARISON OF CBO/OMB WINTER FORECASTS FOR REAL GNP GROWTH
(In percent, by calendar year)

	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	Mean Error	Mean Absolute Error	Root-Mean-Square Error
Actual	4.0	2.3	-0.1	2.0	-1.8	3.3	6.9	2.3	2.5	2.9	3.8	2.9			
Forecasts for the Current Year															
CBO	4.5	2.9	-0.9	1.4	-0.1	2.1	5.4	3.5	3.2	2.8	2.3	2.9			
Error	0.5	0.6	-0.8	-0.6	1.7	-1.2	-1.5	1.2	0.7	-0.1	-1.5	0.0	-0.1	0.9	1.0
OMB	4.7	3.3	-0.6	1.1	0.2	1.4	5.3	3.9	3.4	3.1	2.9	3.3			
Error	0.7	1.0	-0.5	-0.9	2.0	-1.9	-1.6	1.6	0.9	0.2	-0.9	0.4	0.1	1.1	1.2
Forecasts for One Year Ahead															
CBO	4.3	3.3	2.4	2.0	2.9	4.4	4.7	4.1	3.2	3.1	3.0	2.6			
Error	0.3	1.0	2.5	0.0	4.7	1.1	-2.2	1.8	0.7	0.2	-0.8	-0.3	0.8	1.3	1.8
OMB	5.1	4.8	2.5	1.7	4.2	5.2	3.9	4.1	4.0	4.0	3.5	3.1			
Error	1.1	2.5	2.6	-0.3	6.0	1.9	-3.0	1.8	1.5	1.1	-0.3	0.2	1.3	1.9	2.4

NOTES: Forecast errors are defined as forecast minus actual growth rate. CBO and OMB forecasts are taken from their respective winter publications.

The data for actual real growth are defined as the first available historical data. These data are subject to subsequent revision. For the purpose of comparing forecast errors, however, this fact is of little consequence.

The summary statistics are defined as follows:

"Mean error" is the simple arithmetic average of the forecast errors.

"Mean absolute error" is the simple arithmetic average of the absolute forecast errors--that is, the forecast error measured without regard to the direction of the error (plus or minus).

"Root-mean-squared error" (RMSE) is the square root of the arithmetic average of the forecast errors squared.

The mean error is a measure of statistical bias (zero indicates no bias), while mean absolute error and RMSE are alternative measures of statistical accuracy (a smaller number indicates a more accurate forecast). Of the two measures of accuracy, the RMSE is usually preferred since it implicitly accounts for potential bias in the forecast.

Mr. Reischauer. The bottom line of what such information will show is that forecasting is an art, not a science.

Mr. Lewis. I guess that might have been a point.

Mr. Reischauer. But we will be happy to show you our artistry for the record.

We think the inflation rate is going to remain stuck somewhere between 4 percent and 4½ percent, and interest rates should edge down over the next couple of quarters before they begin rising again. The Federal Reserve will want to dampen any threat from a resurgence of inflation as the growth rate picks up.

Mr. Fazio. Does this factor in the news from the Tokyo Stock Exchange?

Mr. Reischauer. Did something happen today?

Mr. Fazio. I guess you couldn't predict a creeping climb of Japanese interest rates, though?

Mr. Reischauer. No. Our forecast was put to bed in the middle of December, and our expectation was that interest rates in this country would drift down over the next two quarters.

What is happening in world financial markets has cast some doubt on that assumption.

But CBO's forecast is close to that of the consensus of private forecasters. It is also considerably less optimistic than the Administration's forecast.

The Administration anticipates real growth rates that are about eight-tenths of a percentage point higher than CBO, and it expects short-term interest rates to be substantially lower than CBO expects in 1991.

We are predicting a 7.2 percent Treasury Bill rate in 1991, and the Administration has a 5.4 percent Treasury Bill rate. So there is a big gap there.

Statement by Mr. Reischauer

Let me say a few words about what CBO accomplished during fiscal year 1989 in addition to the normal products that we produced for the Congress. Three extraordinary developments put additional demands on CBO's resources.

The first was that CBO provided analytic support for the Bipartisan Committee of Congressional Leadership in its budget summit negotiations with the executive branch. Much as we did in the first budget summit in the fall of 1987, CBO produced cost estimates and projections of the budgetary effects of various spending and revenue proposals throughout the summit, and the CBO numbers were used to fashion a final agreement.

The savings and loan bailout situation also imposed a good deal of extra work. We provided Congress with extensive cost and policy analyses of this complex issue. Our analysts, I think, had an important impact on the outcome of the debates. The effort to repeal the Medicare Catastrophic Coverage Act was a third source of extraordinary work for CBO. We analyzed hundreds of options that Members and committees developed. In addition, we accomplished a thorough reanalysis of the prescription drug component of the Medicare Catastrophic Coverage Act. We also reestimated several times the cost of the skilled nursing facility benefit that was part of that program and that was escalating very rapidly in costs.

Let me turn now to our request. As you mentioned, Mr. Chairman, we are requesting $21,723,000, which is an increase of 13 percent over the estimated fiscal year 1990 operating level of $19,229,000. The increase is not attributable to any new discretionary spending.

CBO is not requesting any additional staff, but we are requesting enough to provide the agency with the resources that are necessary to fill all of the 226 positions that are now authorized. This request is sufficiently lean that I think CBO will have to absorb a number of the costs that we previously did not have to bear.

Of the requested increase, $1.809 million, or 73 percent, is for personnel-related expenditures. Our current appropriation supports 218 positions. Because of the increased workload we anticipate from the Congress, we are hoping to fill the remaining eight positions in fiscal year 1991.

Our request also includes an additional $202,000 for ADP and an additional $289,000 for systems, data and model development work. Our 1991 budget request for ADP is still 5 percent below our actual spending in fiscal year 1988, and it is 32 percent less in nominal terms than CBO spent in 1984 on ADP.

That reduction, in large measure, is because we have internalized a lot of our operations that we used to do through time-sharing and with groups outside of CBO. We put many applications on microcomputers and thereby saved a lot of money.

The increases for systems and data and model development that we are requesting might appear to be significant, but it does no more than restore spending to the levels that we had in previous years. We have tightened our belt in that area in response to sequestration, and we put off acquiring some much needed data for developing new models.

We are going to be hurting if we do not go back and patch that up. The remainder of our requested increase is spread across an array of areas that includes printing, supplies, travel, and training. It is largely the result of increase in prices and workload.

As I stated at the opening of this justification, I believe this to be a prudent budget. Our request is driven primarily by mounting personnel costs plus the need to staff ourselves up to our authorized ceiling. It is, I believe, a budget that will allow CBO to continue to serve the Congress at the level of excellence that it has come to expect. Thank you.

[The statement of Mr. Reischauer follows:]

Statement of
Robert D. Reischauer
Director
Congressional Budget Office

before the
Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 30, 1990

Mr. Chairman and Members of the Subcommittee, I am pleased to present the fiscal year 1991 budget request for the Congressional Budget Office (CBO). CBO is a nonpartisan analytic organization that furnishes the Congress with information and analyses on issues relating to the U. S. economy, the federal budget, and federal programs. CBO does not make policy recommendations, but presents the Congress with options and alternatives in a wide range of subject areas, all of which have economic and budget impact.

This is my first appearance before this Subcommittee as Director of the Congressional Budget Office, and it comes at a most propitious time. However, I am no stranger to the Committee, having participated in hearings before this committee during my earlier years at CBO. This year marks CBO's 15th year of support to the U.S. Congress. For a decade and one-half, CBO has served the Congress in a professional manner and has, I believe, performed its duties with distinction. But the hallmark of CBO's success--clear, concise economic and budget analysis delivered in a timely manner--has resulted in an increasing demand for its products. So that, while the components of our budget have not changed--basically people and computers--CBO's need for additional resources to meet Congressional demands continues to increase. The budget I am seeking today is, however, what I believe to be the minimum necessary to perform adequately the tasks requested of us by the Congress.

For fiscal year 1991, we are requesting $21,723,000, an increase of 13 percent, or $2,494,000, over our estimated fiscal year 1990 operating level of $19,229,000. The increase is not attributable to any new discretionary spending. It does give the agency the resources necessary to staff to its authorized level of 226 positions. However, let me emphasize, Mr. Chairman, that this request is sufficiently lean that CBO will probably have to absorb a number of costs it previously did not have to bear. CBO is not requesting any additional staff positions.

Of CBO's requested increase, $1,809,000, or 73 percent, is for personnel-related expenses. Our current appropriation supports 218 positions and, as Congressional demand for CBO work continues to be strong, we believe it is important to fund to our authorized ceiling level of 226 positions.

Our request also includes an additional $202,000 for ADP and an additional $289,000 for systems, data and model development work in fiscal year 1991. Our 1991 budget request for ADP is still 5 percent below our actual spending in fiscal year 1988 and more than 26 percent less in nominal terms than what we spent in this area in 1983. The systems, data, and model development increase, while appearing significant, does no more than restore spending in this critical area to more appropriate levels after a year in which spending was constrained as a result of sequestration. Spending for systems, data, and model development is still only 1.8 percent of our total budget. The remainder of our requested increase, $194,000, is spread across a broad array of areas, including travel, printing, supplies, and training, and is the result of increase in both prices and workload.

Before discussing our request in detail, I will review for the Committee the principal services that CBO provided the Congress during this past fiscal year.

CURRENT CBO SERVICES TO THE CONGRESS

Once again, in fiscal year 1989, CBO played a key role in supporting Congressional action. Last spring, CBO provided analytic support to the bipartisan committee of Congressional leaders in the budget summit negotiations with the Executive Branch. Much as we did during the first budget summit in the fall of 1987, CBO produced cost estimates and projections of the budgetary effects of various spending and revenue proposals throughout the summit and CBO numbers were used to fashion the final agreement.

Two other issues highlighted CBO's work for Congress in 1989: the S&L bailout legislation and the Medicare Catastrophic Coverage Act debate. In both instances, CBO provided the Congress with extensive cost and policy analyses of exceedingly complex issues and in both instances CBO's analysis had an important impact on the outcome of the debates.

As always, Mr. Chairman, CBO studies are done at the written request of chairman of full committees, subcommittees, and budget task forces, the ranking minority member of full committees, and the leadership on both sides of the aisle. In keeping with the intent of the Congressional Budget Act of 1974, we do not undertake studies that do not have clear budgetary and economic implications.

The Balanced Budget Reaffirmation Act

The Balanced Budget and Emergency Deficit Control Reaffirmation Act of 1987 (Public Law 100-119) continued many of the tasks assigned to CBO by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177). Although CBO's role in the current sequestration process is advisory, the agency must still prepare very detailed reports estimating whether or not the proposed budget conforms to the Reaffirmation Act's deficit targets.

In fiscal year 1991, CBO will compile two sequestration reports. Preparing these sequestration reports remains a major undertaking. CBO analysts review over 1,000 budget accounts and apply cuts, as specified in the law, where necessary. In addition, the report must be prepared for publication in the Federal Register, all within a five-day deadline.

In addition to the sequestration report, the Balanced Budget Act gives the Director of CBO responsibility for alerting the Congress to a recession or downturn in the economy that might warrant suspending the deficit targets. CBO did not see the need to make such a report in 1989, and our current economic forecast does not envision a recession.

The Balanced Budget Act also requires CBO to provide the Congress with a report on unauthorized appropriations and expiring authorizations. This year, we filed that report with the Congress on January 16.

Finally, the Reaffirmation Act directs CBO, in consultation with the General Accounting Office, to study and report to the Congress on federal credit programs. In December, CBO published *Credit Reform: Comparable Budget Costs for Cash and Credit*, which addresses a number of credit reform issues and makes specific recommendations, as required by the Reaffirmation Act.

The Budget Act of 1974

The Congressional Budget Act of 1974, as amended, mandates that CBO prepare certain reports on a regular basis and that it undertake other studies in response to Congressional requests. Specifically, CBO carries out the following tasks: it maintains current tabulations of Congressional revenue and spending actions (scorekeeping); prepares five-year cost estimates for bills reported by the authorizing committees; prepares outlay estimates for bills providing new budget authority; supplies information on tax expenditure and revenues; annually reports projections of new budget authority, outlays, and revenues for the coming five fiscal years; estimates the cost to state and local governments of carrying out or complying with federal legislation; prepares periodic forecasts of economic trends and alternative fiscal policies; and analyzes issues that affect the federal budget.

Scorekeeping

CBO provides the Congress with up-to-date tabulations of Congressional actions on revenue and spending bills. These tabulations are used, particularly by the Budget and Appropriations Committees, to measure the status of Congressional budget actions relative to the targets or limits specified in the concurrent resolution on the budget.

The bulk of CBO scorekeeping activities involves spending actions. The spending side of the federal budget is complex, consisting of more than 1,000 separate accounts. Furthermore, the Congress acts each year on a large number of individual legislative bills that affect spending, including 13 appropriation bills. CBO's scorekeeping system keeps track of Congressional action on all these bills from the time they are reported from committee to the time when they are enacted into law. As a result, the CBO scorekeeping data base for budget authority and outlays is very complex, and keeping it current represents a major effort.

CBO scorekeeping estimates are derived from its analysis of the President's budget, baseline budget projections, and bill cost estimates, as well as from the economic assumptions used for the concurrent budget resolution. CBO reviews its scorekeeping estimates on a comprehensive basis at least twice a year to incorporate new information provided by the Office of Management and Budget (OMB) and other federal agencies, revised economic assumptions that may be adopted by the Budget Committees, and other relevant data.

Specially designed computer scorekeeping reports are provided weekly, and sometimes daily, to the Budget and Appropriations Committees. Frequent letters are also sent to the Chairmen of the two Budget Committees to advise them on current budgetary levels. In addition, advisory letters have also been sent on request to the Chairman of the Senate and House Appropriations Committee on the budgetary impact of individual appropriation actions, such as a supplemental appropriation bill or a continuing resolution. The CBO automated scorekeeping data base is also used to provide special computer reports to the Appropriations Committees to use in preparing their February 25th reports, and in dividing budget resolution allocations among subcommittees.

CBO also prepares a weekly automated report on the legislative status of selected entitlement and other bills that would directly affect budgetary requirements. Similar reports provide information on the legislative status of bills affecting credit activities, bills providing required authorizations for requested appropriations, and proposed revisions of the Budget Act. Copies of these reports are provided to the staffs of the Appropriations and Budget Committees of both Houses.

Baseline Budget Projections

Each year, CBO prepares a new set of baseline budget projections. The projections take as their starting point the budgetary decisions made by the Congress through its most recently completed session and show what would happen to the budget if no new policy decisions were made during the next five fiscal years. These projections do not represent a forecast of future budgets, because the Congress does make numerous new policy decisions in response to changing national needs and economic circumstances. They do provide, however, a useful baseline or benchmark against which proposed changes in taxes or spending policies may be measured and assessed. A longer-term framework is helpful in making annual budget choices, since these decisions sometimes have little impact on the budget in the short run. They do, however, significantly influence relative budget priorities over a period of several years. Because the annual budget resolution now includes a credit budget component, CBO also prepares baseline budget projections for federal credit activities.

CBO's capability to do budget projections has enabled the Congress to move more and more in the direction of multiyear budgeting. In the past, both Budget Committees have used CBO's baseline budget projections as a starting point for formulating their recommendations for the annual budget resolution. The CBO baseline spending projections are distributed to the Appropriations Committees and the authorizing committees as background information for preparing their "views and estimates" reports to the Budget Committees, now required by February 25th. The Budget Committees then use the CBO baseline projections in their budget resolution markup materials to assess how spending and revenues should be altered in the future to meet fiscal policy goals and national needs. Both Budget Committees include three-year targets in their recommended budget resolutions.

The CBO budget projections took on an added role in the 1980s. They now serve as the baseline for computing the spending reductions to be achieved in the budget reconciliation process. Moreover, CBO has made similar use of baseline budget projections in its bill cost estimates for calculating the costs or savings that would result from legislative proposals to change existing law. This process is particularly important for calculating the budgetary effects of changes in various entitlement programs.

The growing use of budget projections requires CBO to maintain a large multiyear data base on a year-round basis. CBO now provides both Budget Committees with numerous sets of five-year projections of revenues and spending throughout the year, usually in the form of computer tabulations. In addition, CBO publishes annually a five-year budget projections report at the beginning of each session of the Congress and updates it each August.

The current baseline deficit projection, formally released in a hearing before the Senate Budget Committee on January 24, 1990, and before the House Budget Committee tomorrow, January 31, 1990, projects a deficit of $138 billion in fiscal years 1990 and 1991, declining to $118 billion by 1995.

The concept of a budget baseline was incorporated in the Balanced Budget Act for determining the need for and magnitude of across-the-board spending reductions to meet specific deficit targets. When the act was amended to correct the constitutional defect, in 1987, the baseline concept was also modified to approximate more closely the methodology we use in our baseline projections. The major change was to include a factor for inflation and pay adjustment in projecting discretionary appropriations.

Again this year, as last, the CBO baseline is virtually identical to the budget base as specified in the Balanced Budget Act. For 1991, therefore, the CBO baseline deficit estimate is identical to CBO's estimate used for computing the excess deficit as part of the sequestration process. Having a single baseline is intended to help focus attention on the fundamentals of the budget situation and reduce any confusion stemming from minor conceptual differences in our budget projections.

Analysis of the President's Budget

The Congressional Budget Office carefully reviews the budget estimates that the Administration submits to the Congress. Where necessary and appropriate, CBO reestimates the Administration's budgetary proposals using its own economic assumptions and technical estimating methods.

The economic assumptions used by the Budget Committees to formulate the annual budget resolutions usually are different from the assumptions the Administration used to prepare the President's budget. A different set of economic assumptions may significantly alter the budgetary impact of the President's proposals. Both Budget Committees periodically ask CBO to reestimate the President's budget using different economic assumptions.

CBO has an independent capability for estimating the impact of various budget proposals on budget outlays. To keep these techniques and methods as accurate as possible, CBO staff carefully monitor both actual spending trends, as reported monthly by the Treasury, and various program data series that provide information on recent trends in the use of federal benefits and services, the growth in beneficiary populations, and other factors affecting federal spending. CBO uses these independent methods to reestimate the effect of the President's budgetary proposals. In recent years, these so-called "technical reestimates" have been significant.

In addition to reviewing carefully the Administration's budget estimates, each year, CBO prepares an analysis of the President's budgetary proposals. This publication is requested annually by the Senate Committee on Appropriations to assist Members and staff in preparing for overview hearings on the Administration's annual budget. The report discusses the economic outlook for the next several years and the possible economic impact of the President's proposals. It also presents CBO's reestimates of the budget impact of these proposals based on alternative economic assumptions and on CBO's estimating techniques and methods.

Bill Cost Estimates

CBO prepares cost estimates for virtually every public bill reported by legislative committees in the House or Senate that would have a budgetary impact. CBO also prepares numerous cost estimates at committee request for use in earlier stages of the legislative process. CBO's bill cost estimates have become an integral part of the legislative process. Committees refer to them increasingly at every stage of bill drafting, and they have an impact on the final outcome of legislation.

The number of such bill cost estimates prepared each year varies, depending on the amount of legislation being considered and reported by legislative committees. For 1989, the number of individual cost estimates was 603, as shown in Table 1.

A large part of CBO's bill costing in previous years was for the House and Senate Committees receiving reconciliation instructions in the budget resolution. CBO's tracking system for bill cost estimates has treated work on the reconciliation proposals as if they were a few large bills. As a result, this system understates the true workload shown in the figures in Table 1 for 1982 through 1989. Work on a reconciliation bill alone is equivalent to several hundred bill cost estimates.

TABLE 1. BILL COST ESTIMATES (Formal and informal)

	1982	1983	1984	1985	1986	1987	1988	1989
Federal Estimates	747	676	687	601	667	743	771	603
State and Local Estimates	4	573	641	533	588	531	675	470

In addition to cost estimates for bills reported by legislative committees, CBO also provides the Appropriations Committees with estimates on outlays for all appropriation bills. These outlay estimates are prepared for each appropriation account and are transmitted to the staffs of the committees largely in the form of computer tabulations. For example, many reports display both budget authority and outlay data in the Comparative Statement of Budget Authority (CSBA) formats used by the Appropriations Committees. Judging by the number of inquiries that CBO receives, it is fair to say that our estimating function is, by far, the most extensive of any legislative body in the world. CBO is always pleased to furnish technical assistance to other bodies interested in following the U.S. Congress as a model.

State and Local Government Cost Estimates

The State and Local Government Cost Estimate Act, enacted in late 1981, temporarily expanded CBO's responsibilities for bill costing by requiring estimates of the cost that would be incurred by state and local governments as a result of proposed federal legislation. The Reaffirmation Act made this requirement permanent.

CBO reviews as many bills as possible to identify their potential impacts on state and local government costs. We focus on bills that, in our judgement, are likely to result in an aggregate annual cost to state and local governments of at least $200 million, or to have exceptional fiscal consequences for a geographic region or particular level of government. During 1989, CBO prepared state and local cost estimates for 470 bills. Of these bills, CBO estimated that 7 bills had an aggregate annual cost exceeding the $200 million threshold, 59 were below the threshold but had some potential effect on the budgets of state or local governments, while 404 had no impact.

Economic Forecasts and Fiscal Analysis

Each fiscal year, CBO provides the Congress with two reports on the economic forecast. The first is issued early in the legislative session to coincide with Congressional consideration of the concurrent resolution on the budget. The second report, issued in mid-August, provides the economic basis for CBO's advisory sequestration reports in August and October.

CBO does not maintain its own macroeconomic model of the economy. Instead, it uses the major commercially available econometric models: Data Resources, Inc., the WEFA Inc., Washington University Macroeconomic Model, and Ray Fair Economic Model. Moreover, CBO has developed, in conjunction with the International Monetary Fund, an international econometric model to help track this increasingly important aspect of the nation's economy. We also rely on the advice of a distinguished panel of advisers who represent a wide spectrum of economic views. The panel meets semiannually, before a new forecast is issued, and the panel is supplemented from time to time with guests possessing expertise in particular areas of interest. Appendix A to this statement lists the current members of the panel.

The reports issued in January and August of 1989 focused on recent economic developments, discussed fiscal and monetary policy, forecast short-term economic trends, projected long-term trends, and detailed the federal budget outlook under these economic assumptions. CBO must continuously use various models of the economy to comply with the requirements of the Balanced Budget Act that it report to the Congress if it foresees a recession. With the growing internationalization of the U.S. economy, the task has become more complex, since it is increasingly important to monitor developments abroad as well as in the United States.

More and more, the Congress is concerned with the way in which fiscal policy, as well as specific federal programs, affects the overall economy. Recently, CBO has enhanced its analytic capabilities in such areas of Congressional interest as the financial condition of thrift institutions, international debt, national savings, and U.S. living standards. Studies currently under way include an analysis of the Brady Plan, the outlook for national savings, and issues and measurements of the budget deficit.

Tax Analysis

With each new economic and budget baseline forecast, CBO provides the Budget Committees with a set of standardized tables providing considerable background detail on CBO's baseline revenues and estimates of recent tax legislation. The Budget Committee staff members have found these tables very useful.

CBO also provides several sets of five-year baseline revenue estimates based on alternative economic forecasts developed by the staffs of both Budget Committees. Most of these are done to aid the staffs in preparing the budget resolution.

Revenue scorekeeping reports, with bill-by-bill detail, are sent biweekly, or as needed, to the staffs of the Ways and Means, Finance, and Budget Committees. The reports provide five-year estimates of the revenue effects of each tax bill on the legislative process, and compare the cumulative revenue effects of enacted legislation with the targets set in the budget resolution. The revenue estimates shown in the reports are drawn from CBO cost estimate letters and are furnished to the tax-writing committees when each tax bill is reported.

The CBO staff continued to provide estimates of the revenue effects of many alternative deficit reduction plans. CBO is also working on a number of aspects of the capital gains tax issue and expects shortly to publish reports on the distributional benefits from a reduction in the capital gain tax rate, different methods of reducing the rate, and prospective versus retrospective capital gains cuts. In addition, CBO has under way a study of tax changes that might stimulate private savings.

Program Analysis

The CBO's program divisions--Human Resources, Natural Resources, National Security, and the General Government unit in the Office of Intergovernmental Relations--respond to requests from Congressional committees to analyze issues and options that help the Congress anticipate the consequences of legislative proposals. Four types of products illustrate the range of efforts carried out by the program divisions:

- o Formal and informal cost estimates and other budget analytic work analogous to, or in support of, the efforts of the

Budget Analysis Division. Often this work involves developing simulation models to estimate the impacts of technical and other changes in legislation;

- Short-term policy analyses, usually to estimate the likely effects--other than costs--of proposed legislation;
- Longer-term analyses of broad issue areas, considering a full range of policy options. These projects typically result in published papers; and
- Testimony at Congressional hearings, which often follows from other work we have done.

The principal responsibility of the program divisions is to assist Congressional committees in examining the effects of legislative policy options on the budget. Over the years, CBO has responded to requests for analyses of key program issues from almost every committee of both Houses of the Congress.

In fiscal year 1989, CBO's program divisions completed 17 such reports for 8 Congressional committees--4 in the House and 4 in the Senate. Appendix B of this statement shows the distribution of all reports completed by CBO for Congressional committees in fiscal year 1989.

The subject areas of these reports have typically reflected the major budgetary issues before the Congress and the nation. Our program divisions support Congressional debate by organizing and presenting policy goals, often scattered among disparate programs in different budget functions and tax provisions, into a single analysis. In this way, the Congress can see more clearly whether its policies are having the intended effect.

Some recent studies of this type are *Current Housing Problems and Possible Federal Responses* and *Agricultural Progress in the Third World and its Effect on U.S. Farm Exports.*

Much legislation with purposes not closely related to the federal budget nevertheless has important budgetary and economic consequences. Many committees have shown a strong interest in the analysis of the effects of such legislation. These analyses often expand and complement information provided in a CBO cost estimate.

In 1989, CBO provided Congress with several such reports, including: *The Outlook for Farm Commodity Program Spending, Fiscal*

Years 1989-1994 and *Alternative Compensation Plans for Improving Retention of Air Force Pilots.*

In terms of direct support of the budget process by the program divisions, CBO studies often address the budgetary implications of changes in program emphasis or direction or changes in the carrying out of new initiatives. Committee interest in such analyses may be prompted by budget constraints or by the perception that existing programs may be inefficient or have outlived their original intent.

Recent CBO studies along these lines include: *Risks and Benefits of Building the Superconducting Super Collider*; *The Status of the Airport and Airway Trust Fund*; *Strategic Defenses: Alternative Missions and Their Costs*; and *Subsidies Under Medicare and the Potential for Disenrollment Under a Voluntary Catastrophic Program.*

Based on current committee requests, CBO expects to complete a large number of reports this fiscal year. We further assume that our level of activity in fiscal year 1991 will be similar to that in fiscal year 1990. CBO's program divisions have remained remarkably stable in terms of staffing and funding since the inception of CBO. Through the years, they have accounted for approximately one-third of CBO's staff positions and a little more than one-quarter of the funding.

Published reports are only the most obvious example of the analytic support that the program divisions provide to the Congress. Regularly, short-term analysis in the form of staff memoranda and letters is provided to committee staffs by the program divisions. In addition, CBO is frequently called on by committees to testify. During the last fiscal year, CBO was called upon to testify on 27 separate occasions. This testimony is often in connection with an ongoing or completed report, though we sometimes prepare new analyses for such appearances.

Finally, our program divisions have developed a number of sophisticated analytic computer models of federal programs. The output from these models is provided to our Budget Analysis Division for use in its cost estimates, and program analysts frequently help revise or improve existing BAD models. This capability allows our program units to respond to requests that require sophisticated analytic treatment, such as simulating the effects of options on beneficiaries of federal programs. Similarly, the program divisions have developed models, both for the budget committees and authorizing committees, that estimate the costs and revenues of specific programs. The models are used by the committees to respond to proposals made during the markup of legislation.

The requests and demands made of our program units have not lessened under the Balanced Budget Act. The Congress, to carry out its policy objectives during these times of severe fiscal constraint, is considering numerous new and innovative approaches in an increasing number of program areas. CBO is being called on to evaluate and analyze many of these proposals and to put them in a budgetary context. In addition, the Congress will need to continue to assess the programmatic and policy implications of budget reductions. The CBO program divisions have the resources in place to provide information as the Congress makes these important reassessments.

ORGANIZATION OF CBO

For management and administrative purposes, CBO is divided into seven divisions. While the functions of the divisions are unique, the work of each is highly dependent on that of the other, and I would like to take time today to share with you how this "crosswalk" works.

Three of our divisions--the Budget Analysis, Fiscal Analysis and Tax Analysis Divisions--primarily support the needs of the House and Senate Budget and Appropriations Committees for accessible, comprehensive, and technical budget and economic information. The other four divisions--Natural Resources and Commerce, National Security, Human Resources and Community Development, and the General Government unit of the Office of Intergovernmental Relations--provide key support, often early in the legislative process, to the budget and authorizing committees in analyzing various programmatic and policy options and their associated costs. To perform these tasks, each unit must collaborate with the others.

For example, the economic assumptions developed by the Fiscal Analysis Division serve as the basis for our cost estimating, projections, and analysis of issues. The budget numbers developed by the Budget Analysis Division often depend on methodological studies done in the program divisions. Finally, all numbers developed in connection with analytic studies are reviewed by the cost analysts in the Budget Analysis Division. This crosswalk among our divisions is absolutely essential to our ability to provide accurate cost estimates and comprehensive analyses of alternative legislative strategies.

The interdependence of our organization is best exemplified by the report, *Reducing the Deficit: Spending and Revenue Options*. Over the years, many Members of the Congress have told us they find this to be one of the most useful documents we produce. The study describes several broad strategies for reducing the federal deficit and analyzes numerous specific spending and taxing options for carrying out those strategies. Each option lists the outlay savings or revenue increases that would result from its enactment. The Fiscal Analysis Division prepares the economic assumptions used in the report. The Budget Analysis Division prepares the baseline projections using these economic assumptions. The program divisions develop strategies and options. The cost analysts in the Budget Analysis Division provide the savings estimates associated with each option. The Tax Analysis Division provides the analysis of revenue increases.

THE FISCAL YEAR 1991 REQUEST

As I indicated previously, Mr. Chairman, the increase being requested over the 1990 operating level consists mostly of mandatory personnel expenses needed to fund CBO at the authorized staff level. Of the $2,494,000 increase being requested, $1,809,000, or 73 percent, is increased personnel costs. Of the remainder, $202,000 is for ADP purposes and $289,000 for systems, data, and model development. Increases in prices and workload in a wide array of other administrative areas account for the remaining $194,000 being requested.

Personnel Costs

Escalating personnel costs are the driving force behind most of CBO's requested increase. The steady rise in pay and benefit costs has driven the personnel component of CBO's budget up to 76 percent of the total 1991 request from 59 percent of CBO's total budget as recently as fiscal year 1985. Similarly, benefit costs in 1991 will reach nearly 25 percent of payroll, far above the pre-FERS rate of 12 percent. Increased funding for benefit costs puts increases pressure on other portions of CBO's budget.

An assumed merit pay increase of 3.6 percent accounts for an increase of $423,000 in our request. The budget request makes no allowance, however, for a 1991 cost-of-living increase, which could force CBO to absorb $400,000 or more in additional costs. Despite the use of conservative assumptions and eligibility criteria, the 1991 executive pay adjustments for senior CBO staff will still require an estimated $609,000. This represents one-third of our requested cost increase for personnel. Moreover, CBO's budget does not include any additional resources for overtime pay. Required by recent amendments to the Fair Labor Standards Act, overtime costs will also have to be absorbed. CBO will follow the guidelines of the House, when they become available, regarding overtime pay and executive salary adjustments.

ADP Costs

ADP costs increase 7 percent in the current request, or by $202,000. These funds will support needed changes and updates to critical mainframe applications as well as replace aging microcomputers. CBO is proud it has been able to reduce ADP costs over the years while increasing productivity. By using microcomputers, and aided by HIS price reductions, CBO has significantly reduced the relatively expensive timesharing component of total ADP costs. ADP is 14 percent of our 1991 request, as compared with 29 percent of our 1983 budget. Actual ADP costs in fiscal year 1989 were the lowest in 10 years. Fully funded, the requested ADP level for 1991 is still 26 percent below the 1983 level.

Systems, Data, and Model Development Costs

The systems, data, and model development component of our budget is used primarily to purchase and modify data needed to update existing models. Spending in this area can vary widely, depending, as it does, on such things as the availability of data and the length of time since the previous update. Budget constraints in fiscal year 1990, including sequestration, require CBO to cut spending here nearly in half from 1989, which was already 29 percent lower than fiscal year

1988. The $289,000 increase requested for 1991 returns spending in this category to more historical levels and would allow us to acquire critical data updates for the Budget Analysis and Human Resources divisions.

Other Costs

Administrative expenses in our 1991 request, at $1,790,000, are only $90,000 more than similar expenses in fiscal year 1988, unadjusted for inflation. The bulk of the requested increase of $194,000 over 1990 is attributable to increased printing and mailing costs of additional CBO reports. Other price increases for postage, travel, supplies, and miscellaneous services account for the remainder of the requested increase. Even so, administrative expenses as a percent of CBO's total budget declines slightly in our request from our 1990 appropriated level.

CONCLUSION

Mr. Chairman, as I stated at the opening of this justification, I believe this to be a most prudent budget for CBO. Our budget request is driven primarily by mounting personnel costs and the need to staff to our authorized ceiling. It is, I believe, a budget that will allow CBO to continue to serve the Congress at the level of excellence it has come to expect. Thank you, Mr. Chairman.

APPENDIX A

CBO PANEL OF ECONOMIC ADVISERS

Barry P. Bosworth
Senior Fellow
The Brookings Institution

Andrew Brimmer
President
Brimmer & Co., Inc.

Robert Dederick
Executive Vice President
and Chief Economist
Northern Trust Company

Martin Feldstein
President
National Bureau
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Edward M. Gramlich
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Lawrence R. Klein
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University of Pennsylvania
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John Makin
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Paul W. McCracken
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Distinguished Professor of
Business Administration

Rudolph Oswald
Director, Research Department
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Rudolph G. Penner
Senior Fellow
The Urban Institute

George Perry
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The Brookings Institution

William Poole
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Jeffrey Sachs
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Paul Samuelson
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Charles Schultze
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APPENDIX B. SUMMARY OF COMPLETED CBO REPORTS BY REQUESTER (October 1, 1988 to September 30, 1989)

Requester	Number of Reports
House Agriculture	1
House Armed Services Committee	3
House Banking, Finance and Urban Affairs	1
House Budget Committee[a]	2
House Ways and Means Committee	1
Senate Appropriations Committee	2
Senate Budget Committee[a]	5
Senate Environment and Public Works Committee	1
Senate Finance Committee	1
Senate Governmental Affairs Committee	1
Senate Labor and Human Resources	1
Mandated by the Congressional Budget Act of 1974	7
Mandated by the Balanced Budget Act of 1985	4
Total	30

[a] Dual requesters

DIFFICULTY IN SUSTAINING OPERATING LEVELS DUE TO BUDGETARY CONSTRAINTS

Mr. **Fazio**. Thank you, Bob. This is a straightforward budget. I have to admit there is not a new initiative in the entire package.

I am concerned about a general problem that confronts all agencies, particularly the personnel intensive agencies. That is the ability to sustain current level services under the constraints of the budget resolutions.

There is a $423 thousand increase for merit increases. Together with the 3.6 percent cost-of-living, that will provide about 7.2 percent for the average salary adjustment.

Do you know the baseline adjustment amounts for the government, and in particular the legislative branch, do not provide anywhere near a 7 percent increment increase in budget resolution targets. In the case of an agency such as yours, which is very similar in resource makeup to most all legislative branch activities, there is very little room—you would probably argue there is no room at all—to make up the budget resolution targets with reductions in other parts of your program. You don't have large grants, contracts, or other program resources that can be shifted, delayed, constrained, or other methods of deferral in order to provide the funding increase necessary just to keep your staff intact, even at a current services level.

What do you suggest——

Since you are a microcosm of the legislative branch agencies what can we do to resolve this problem?

We have had to struggle with this every year—and it is getting near impossible to sustain our operating levels. We will simply have to reduce the size of our legislative agencies—yours included.

I don't know how you can defer other items in your budget. As I said, your budget is straightforward, a fairly steady state. I don't know where you would find any savings.

I have thrown a lot of rhetoric at you, but I hope I make my point. When we look at baselines and we look at trying to budget fairly, we run into this kind of problem.

Mr. **Reischauer**. If you were looking at a baseline using our methodology for an agency that consisted of nothing but people, the baseline would show, as you suggest, an increase of more than 7 percent. So the application of the 4 percent figure, which is essentially an inflation number, would not be the proper adjustment for an agency that was only or largely personnel.

You should not hold yourself to a 4 percent standard even when you are saying, we want to do no more than the baseline. That means that in agencies such as committee staffs of the Congress—areas that are almost exclusively personnel—that the proper baseline adjustment is not 4 percent. It is higher number.

Mr. **Fazio**. The problem we face as we struggle every year, is that we are finding it almost impossible to sustain our operating levels because we are constantly utilizing funding for mandatory items. So the only answer is to defer maintenance, and we discussed the detriments of that route in hearings with the Architect of the Capitol.

Many of those projects should be funded, because they will cost more to do them tomorrow. Or we end up essentially having to reduce the size of our legislative agencies while work that we have to do increases, much of it driven by the executive branch.

Mr. **Reischauer**. It should be noted that the 7 percent figure that you and I were discussing does not include any adjustments that might result from carrying out the ethics reform legislation. You, as well as we, are having a very difficult time keeping the most competent, most competitive group of individuals working in the public sector.

I do not think we should short-change those individuals who have already, I think, made a considerable sacrifice for the years they spent working for the government. Nor are we really in a position where we can take it out of the hides of the remaining employees because there is no indication that they are paid generously relative to those in the private sector.

Mr. **Fazio**. Right. So if you were to factor in the you would be talking about the need for a 10 percent increase really more than a seven percent increase?

Mr. **Reischauer**. That is quite true. I mean without——

Mr. **Fazio**. And as Ed is pointing out to me, this is his chance, you know, we get a basic 3.6 percent increase in budget authority for the 1990 COLA based on your baseline. How do we get out of this box? How do you get out of this box? If you were in our shoes and decided that in order to get this budget passed on the Floor, it ought to be on a baseline number.

Mr. **Reischauer**. I will write Chairman Panetta a letter saying let Ed and CBO off. Forget about the rest.

Mr. **Fazio**. I can imagine how popular that would be. Special dispensation is hard to get.

But, how would you do it? Where would you cut to make up the difference if you were forced to do that, assuming we were forced to do it?

Mr. **Reischauer**. Like this committee staff, we have no alternative. Our budget is largely people. The people have a certain number of machines that go with them, and the people are not worth much unless they have the machines, and the machines are not worth anything if there are no people.

So, in many senses, the ADP and all the rest relates to people. I don't think there is an alternative.

NEED FOR ADJUSTMENT TO BASELINE CALCULATIONS

Mr. **Fazio**. I agree with you that there is a problem. We are calling for a different kind of baseline calculation for personnel intensive agencies. It may not just apply to the legislative branch. It probably applies to OMB and others.

We don't have the flexibility to deal with these kinds of budget requests. It ends up, in the long run destructive of our ability to do the analytical work that is required in the legislative branch vis-a-vis the executive.

You know, we can defer programs at the library, we can defer maintenance with the Architect of the Capitol. But essentially, we are all in the same boat. We just don't have the money to keep our employees well-compensated unless we are willing to have fewer of them, which is not the trend that we are faced with.

That is why we are here. We need staff to help analyze the budget and government operations. For example, that is a purpose of the GAO.

Mr. **Reischauer.** If I remember the numbers correctly, the actual employment of the legislative branch has been fairly stable for a long period of time.

Mr. **Fazio.** We are still living with the resource levels of the seventies to some extent.

Mr. **Reischauer.** During the 1980s, it has been basically flat. That really has not been a source of growth.

Mr. **Fazio.** The personnel growth has been flat by and large because we can't afford to take more people on and then not pay them a fair salary.

Mr. **Reischauer.** We also would have to build another building.

Mr. **Fazio.** Yes. Well, we have learned to live in cramped quarters.

Did you have any questions or comments on this point, Mr. Lewis?

COMMENTS BY MR. LEWIS

Mr. **Lewis.** I guess I am a little hesitant. As you say, the budget request is straightforward. I think since this is the first time you are appearing as Director, it might be proper, if you will let me, Mr. Chairman, to give you a feeling for where I think the Chairman and I come from on an agency like yours and other Legislative Branch-research agencies that help us do the policy work we need to be doing.

In the California legislature there is an office known as the Legislative Analysis Office, a model of an agency that serves the legislative body, operates within the gold fish bowl, but with intensive effort to be bipartisan, nonpartisan and to service professionals upon request.

I am very concerned, at least from what I hear from my own constituency. I get lots of feedback from my Members that suggest that maybe CBO doesn't operate precisely in that independent, nonpartisan mode that it should. And I am concerned about that. Let me express the concern by asking a question relative to a project I think you are familiar with since you telecopied me the information yesterday.

I made a request regarding a piece of legislation that has been around for some time and asked that CBO, even though the bill had not moved, do a cost analysis and that it do so confidentially.

Essentially I was told that CBO cannot provide confidential services to Members unless those services concern legislation yet to be introduced. GAO's policy is to consider Member requests confidentially. A Member receives a GAO study and has 30 days in which to release information. CRS and the Legislative Counsel also provide Members with confidential information regardless of whether or not that information concerns a bill which has already been introduced.

I know you have got to talk to the agencies that might be involved in fulfilling a Member request, but do you have to telecopy it to everybody else in the world at the same time? This is just a matter regarding desert planning in my district.

Frankly, it causes me as a Member to say I don't want to ask CBO for information any more. It is not helpful.

If you would respond to me about what position you are in and what kind of changes should be made so Members like myself can be satisfied about the way a request is handled?

Mr. REISCHAUER. We really try to be non-partisan.

Mr. LEWIS. That is a second discussion. I am going to refer to the newspaper story relative to that.

Mr. REISCHAUER. CBO has in the Budget Act, a list of priorities to which it is supposed to devote its resources. Basically what that list of priorities says is to do things first for the Budget Committees, then the Appropriations and Senate Finance and Ways and Means Committees.

To the extent there are remaining resources, other committees can request items. Members are allowed to be provided information that we have in effect prepared at committee request. We have found over the years that it is helpful if we extend our services, particularly in bill cost estimating, to individual Members, to the extent we have the capacity, while they are developing ideas.

An individual Member might say, "I am considering introducing this piece of legislation. Will you give me an idea of what the cost of it will be?"

That is more or less an informal kind of cost estimate. If the individual Member said, "I would like this kept confidential," we respect that request. Obviously he does not want to be embarrassed if it turns out to be a $1 trillion idea.

Many of the proposals are changed because of the way the process works. In the particular case we are discussing it was a piece of legislation introduced by other Members of Congress.

In situations like that or when we do a cost estimate for a committee at a committee's request or subcommittee's request, we follow the guidelines that we established in 1977, which were approved by the majority and minority leadership. They basically say that when we do a cost estimate, it goes to both sides at the same time, to all the interested or affected parties at the same time.

Nobody has a particular advantage in this case. In the particular instance you are talking about, if you had come up with a particular proposal that you were working on yourself, as opposed to a bill that had been introduced by others, we would have telecopied it only to you.

Our whole objective here is to stay out of partisan politics, to give everybody the same information at exactly the same time. We were requested by the Republican Leadership in the Senate to do an analysis of Senator Bentsen's IRA proposal.

We were also requested to do one of Senator Packwood's IRA by the Democrats. When we got those requests, I said,

> We will be glad to do them, but I want you to know that when we have written them up, they are going to everybody at the same time. They are not going to be pieces of ammunition that suddenly sprung on the Floor.

In short, our whole procedure has been designed to try and avoid the appearance of partisanship in situations like that.

Mr. LEWIS. I want you to know that because of the manner in which my last request was handled, I chose not to ask you to analyze my most recent proposals because I wasn't interested in your broadcasting it to everybody.

Mr. REISCHAUER. We would not have.

Mr. LEWIS. I don't know that. I am only a member of this subcommittee, but I still don't know that.

For example, because of my background in the life insurance and pension field, I am doing a major project relative to catastrophic health care. I have been very hesitant to ask you to help me with the cost analysis because I don't want everybody in town to know what you are thinking about.

Mr. REISCHAUER. No. If we are helping you develop your legislative proposal by finding out what the costs of it are, that would be between you and our office.

Mr. LEWIS. That takes me to the other point. Because you are a legislative agency and serve the Congress, it absolutely does not help CBO's vision of nonpartisanship to refer to the President's budget as "play it again, Sam." Now, if some dumb member of the legislature wants to state rhetoric like that to *The Washington Post*, that is fine. I seriously wonder whether it helps CBO's image of professionalism or nonpartisanism. I will bet you I have a dozen members in my conference talking about that comment.

Mr. FAZIO. Is this a reference to Uncle Sam? I didn't see the story, I must say.

Mr. LEWIS. Do I make the point?

Mr. REISCHAUER. You make a point. I think the point is a valid one.

Mr. LEWIS. Frankly, I learned a long time ago, I don't have to respond to the press if I don't want to.

Mr. FAZIO. I kind of like the quote, Mr. Lewis.

Mr. LEWIS. I understand. If a legislative analyst did that in Sacramento, he wouldn't be the legislative analyst any longer.

Mr. REISCHAUER. Liz Hill stopped by about a month ago and said to me that she wanted to get more of a standing like CBO. How should she do it? I did not tell her to talk to the Washington Post. She was mostly talking about editing and computer resources, things like that.

Mr. LEWIS. I guess the point is that we do need to have a solid professional relationship among us and actually there are members around here on both sides of the aisle who view many an issue without partisan taint. It is very helpful.

Yet, I know what my Republican Conference members are going to be saying to me for the next few days about CBO. I am unhappy with that.

Mr. FAZIO. Probably it would be fair to say that Bob could say almost exactly the same thing about the budget resolution that is agreed to by a majority of the members of Congress.

Mr. LEWIS. That is correct.

Mr. FAZIO. Maybe you are enticing him to do that.

If I were to read your majority leadership, it would probably be more concern that Bob's made it into the fourth paragraph of the story, and theirs have yet to make it.

Mr. LEWIS. There is something to that.

I don't mean to belabor this.

Mr. REISCHAUER. I thought the same thing when I read it this morning. I even got a call from Alice Rivlin this morning, who warned me not to put my foot in my mouth.

Mr. LEWIS. It was the most inopportune time for the story to appear.

Thank you, Mr. Chairman.

Mr. FAZIO. Mrs. Boggs, any questions?

Mrs. BOGGS. No, thank you, Mr. Chairman. I apologize for arriving late. I had an appointment in my office.

DISCUSSION ON CONTRACTUAL SERVICES

Mr. FAZIO. I have a couple of additional questions.

There is an Administrative Services contract with a ten percent increase. We are concerned about that rather sizable increase. I don't know the length of the contract. What services are being contracted? What do they amount to?

Mr. REISCHAUER. It is our estimate of what will be next year's increase in our contract with the Library of Congress. The Library provides us with certain management contracting services and that is our best guess of what they are going to charge us.

Mrs. BOGGS. And we told them to make some money.

Mr. REISCHAUER. Besides paying people, an awful lot of what we do is to pay other people. Something like 80 percent of our computer budget consists of interagency payments to HIS for use of computer services.

Mr. FAZIO. So that is simply taking money out of one of our pockets and putting it into another?

Mr. REISCHAUER. Yes.

Mr. FAZIO. Have you the ability to go elsewhere for those services? Legally, do we permit you to shop around?

Mr. REISCHAUER. I think the answer is yes, but I think we do it this way because we get a pretty good deal. It might be going up at a fast rate, but it still might be a pretty good deal. There is a lot to be said for being neighbors of the person with whom you are contracting, since a lot of the communication back and forth is considerably easier.

DISCUSSION OF PUBLISHED REPORTS

Mr. FAZIO. There is $181,000 for an increase in published reports but we can't find justification for the ten additional reports projected in the workload statistics. Will you explain that?

Mr. REISCHAUER. I think the pace of publications at CBO has been held up to a small degree by the fact there has been nobody at the top who has cracked the whip. I share your original judgment that CBO ran extremely well and that Jim Blum did a tremendous job as Acting Director. But it is very difficult to crack the whip on your colleagues if they are your peers.

Also, there were—you know, there is a new——

Mr. **Fazio**. More published and fewer perished?

Mr. **Reischauer**. There will be more publishing and fewer perishing. That is basically the reason for the 10 more publications. We can see them in the pipeline and now——

Mr. **Fazio**. What demands do you respond to? What drives you to make a decision to publish an item rather than just have it available in typed form? How do you measure need or demand?

Mr. **Reischauer**. What you are asking is really in what form do we choose to put out our reports. The answer is that we have a tremendous following in the hinterlands and in the media. It is almost impossible for us to photocopy enough copies of anything. It would be too expensive for that and too time consuming. If a study is of general interest and it might be reported in the media, and it will stimulate a tremendous demand, then we most often decide to publish.

Mr. **Fazio**. Is there any charge for those? They are made available free of cost?

Mr. **Reischauer**. We provide the publications free, but some of them are also sold by GPO.

Mr. **Fazio**. In their bookstores?

Mr. **Hartman**. Right.

Mr. **Fazio**. Essentially, the media, the executive agencies, the think tanks, the law firms, the accounting firms, they all get them free?

Mr. **Reischauer**. Right.

Mr. **Fazio**. This is of course for the greater purpose of a free Congress and a free democracy?

Mr. **Reischauer**. It helps people understand public policy.

Mr. **Fazio**. I don't disagree. I think sometimes people forget how much it costs us to keep all our critics informed about us. Particularly some of our critics.

Anyway, I have no further questions. Perhaps the other members do?

Thank you very much for your very basic, simple budget presentation.

If you can fix the baseline problem for us, we will appreciate it. Make sure the change in methodology applies to all agencies.

I will insert some questions to be answered for the record.

[The questions and responses follow:]

MANDATORY INCREASES

Question. How many full-time equivalent (FTE) work years does your fiscal year 1990 funding support? How many FTEs will your fiscal year 1991 request support?

Response. The fiscal year 1990 funding is for 218 positions, 8 below our authorized ceiling. The fiscal year 1991 request is for a full staff of 226.

Question. For the record, update the table on page 507 of the 1990 hearings showing authorized positions and the number actually used for the past five years.

Response. The following table indicates the number of authorized positions, the number actually used by CBO, and the number of full-time equivalents:

Fiscal year	Authorized positions	Actual number used	Full-time equivalents
1985	222	215	211
1986	226	216	212
1987	226	216	215

Fiscal year	Authorized positions	Actual number used	Full-time equivalents
1988	226	216	211
1989	226	218	213
1990 est	226	218	218
1991 est	226	226	226

Question. You request $609,000 for an executive staff pay increase. A few years back, CBO adjusted the senior staff from Executive Level V to IV. That was done partly to alleviate the salary compression that was forcing equal salaries for staff with differing responsibilities. Now that the compression problem should be alleviated, will you go back to the Level V ceilings?

Response. Except for the Director and Deputy Director, CBO employees by law are to be treated for pay purposes "as if they were employees of the House of Representatives;" see 2 U.S.C. 601(b). So, unless the House reestablishes a salary link to the Executive Schedule (ES) for its employees, CBO does not expect to do so.

Actually, CBO senior staff members have never been paid at ES IV. At the outset of CBO in 1975, the adopted ceiling was ES V, which was the then maximum for House committee staff. It remained at that level for 12 years, even though the committee staff ceiling had been raised in 1977 to ES IV. The change referred to in the question took place in June 1987, when the CBO ceiling was raised to $75,500. This amount was $2,000 below the then ES IV salary level, which was also then the cap for House committee staff. The CBO cap continues to be about $2,000 below the House cap. In 1989 the corresponding salary ceilings were $80,600 (ES V) and $82,500 (ES IV). The 1990 salary cap for House committee employees has not to our knowledge been established as yet, so there has not been a final decision on a CBO salary ceiling for 1990.

When CBO started in 1975, House employee salary ceilings indeed were linked to the Executive Schedule, and so indirectly those ceilings were applicable to CBO as well. But in the Legislative Branch Appropriations Act, 1988, House employee salary ceilings were "decoupled" from the Executive Schedule. They are now fixed by the Speaker "to the extent necessary to ensure parity of treatment betweeen personnel of the respective Houses." Since Senate employee salary ceilings are linked to the December 31, 1986 pay relationships between employee and Senatorial compensation, it follows that House ceilings, and CBO ceilings in turn, are not derived from the Executive Schedule, except for the Director and Deputy Director, whose compensation by law is ES III and ES IV.

Question. For the record provide the details of the $609 thousand estimate.

Response.

ETHICS REFORM ACT OF 1989 FISCAL YEAR 1991 ESTIMATED COSTS

[Thousands of dollars]

	Pay	Benefits	Total
Director/Deputy	$32.4	$6.6	$39
41 Other Senior CBO positions	500.0	70.0	570
	532.4	76.6	609

The Ethics Reform Act of 1989 provides the Director and the Deputy Director with a 25 percent salary increase effective January 1991. In the absence of guidance concerning how the 1991 executive salary adjustment would apply to House staff, the CBO budget request applied conservative cost assumptions and eligibility criteria. To remain competitive with the executive level salaries paid by the General Accounting Office and the Executive Branch agencies (it would appear that we can no longer compete with the Federal Reserve Board), the CBO budget request for fiscal year 1991 assumes an average increase of 20 percent for 41 senior staff positions. The pay adjustments actually received by senior CBO staff will conform to the standards established by the House of Representatives.

The request incorporates the sizeable variation between the 7.5 percent contribution rate for CBO employees covered by the Civil Service Retirement System versus the marginal rate for FERS employees that, including the Thrift Savings Plan contributions, can reach 23.9 percent.

None of the pay or the benefit costs associated with the anticipated 1991 cost-of-living adjustment is included in the CBO budget request.

WORKLOAD INCREASES

Question. There is a $457,000 increase for ADP redesign, maintenance, and data development. What is the base budget for these items, and what percentage increase does this $457,000 represent?

Response. The $457,000 represents a 15 percent increase over a budget base of $3,016,000. This base includes two distinct ADP spending categories. For the maintenance, upgrading, and increased use of current mainframe and micro systems, CBO is requesting an increase of $168,000. In addition, CBO is requesting a $289,000 increase in funds for major data purchases and model development, an area that has been reduced in fiscal year 1990 to $100,000 in order to absorb the cuts from sequestration and the costs of the drug war.

Question. What additional projects justify this increase?

Response. The timesharing component of this increase includes projects representing staff work in areas that have not required CBO analytical work in recent years, and enhancements in mainframe software.

The major systems, data, and model development projects are needed to develop analytic capability in new legislative areas and to update key CBO data-intensive models.

Both of these component pieces are essential to sustaining CBO's use of up-to-date technology and data.

Question. For the record, describe the additional projects and indicate why they can't be funded out of the base.

Response. Most of the $168,000 is for increased interagency timesharing from filling positions that are not funded in fiscal year 1990. The other major project is $71,000 for the purchase of mainframe software upgrades. The base for fiscal year 1990 includes no funds for software upgrades or timesharing support for the vacant positions.

The $289,000 increase in systems, data, and model development includes many projects that cannot be funded out of the fiscal year 1990 base of $100,000, which represents minimal funding. The projects include a biannual update of the TRIM model, modifying and developing models concerning global warming, acid rain, and thrift banking. Funds are also requested for studies and analyses that will combine income and medicare data, review alternatives for reimbursing long-term care providers, and merge post-secondary education data.

These models are essential to CBO's cost estimating and analytic functions and are of little value if the underlying data become antiquated.

Question. Document for the record the components of a $181,000 increase in printing and mailing for 10 more reports.

Response. The $181,000 increase for additional CBO reports includes $129,000 in additional GPO printing costs and $52,000 in additional mailing costs that reflect the projected 20 percent increase in postal rates scheduled for 1991.

USE AND COSTS OF MID-RANGE COMPUTER

Question. How is the mid-range computer being used? What are the applications and costs?

Response. The IBM 9370 computer is used primarily by the Budget Analysis Division to support program development, maintenance, and testing of divisional application systems. These systems run on the House Information Systems (HIS) mainframe computer. Programs, once tested, are electronically transferred to the HIS machine and placed into production. Other CBO divisions have used this machine for limited production purposes involving statistical software such as TROLL and SAS.

This departmental computer is leased from IBM by HIS on CBO's behalf. The lease is a three-year lease-to-own agreement with an annual cost of $111,360. Additional costs include operational support provided by HIS, at $8,568 per year, and annual software costs of $10,400.

CBO is currently reviewing an HIS proposition whereby CBO would use a "virtual machine," on the newly upgraded HIS mainframe computer, to perform all work currently processed on the 9370. Under this arrangement, the 9370 lease would be canceled and costs would be limited to a fixed HIS monthly charge plus customary printing and secondary storage fees. Discussions between CBO and HIS are under way to develop this suggestion into a written proposal that can be evaluated by both organizations.

Question. How will you save $27,000 on this item? How was this work done formerly?

Response. This savings result from the expiration of the IBM 9370 computer three-year lease-to-purchase contract, during the fiscal year, rather than a decrease in workload.

TEMPORARY EMPLOYMENT AND ADP CONTRACTS

Question. Update the temporary employee data and the contractor data (page 508) from the last year's hearing.

Response. See the following tables.

CBO TEMPORARIES AND DAYS SERVED, 1986-1989

Name	1986	1987	1988	1989
Panel of Economic Advisors[a]				
William Beeman	--	1	--	--
Barbara Bergmann	1	--	--	--
Andrew Brimmer	--	--	1	--
Eric Hanushek	1	4	--	--
Walter Heller	2	2	--	--
F. Thomas Juster	2	2	--	--
Lawrence Klein	1	--	1	2
John Makin	2	4	2	1
Leif Olsen	--	2	--	--
Joseph Pechman	1	1	2	1
Rudolph Penner	--	1	4	2
Charles Schultze	2	2	1	2
Herbert Stein	--	2	1	--
Lawrence Summers	--	--	2	--
James Tobin	1	1	1	2
Michael Wellman	1	--	--	--
Murray Wiedenbaum	1	2	1	2
Consultants				
James Barth	1	43	--	--
William Beeman	--	--	1	--
Alan Blinder	1	2	1	--
Paul Courant	--	--	1	--
Edward Gramlich	4	--	--	2
Eric Hanushek	50	--	3	--
John Makin	1	--	--	--
William Poole	--	--	--	1
Other Individual Contractors				
Constabile Associates	112	125	212	115
JV & Associates	54	--	--	--
Jonkey Corporation	9	--	--	--
Marion Curry	149	73	--	--
Mark Dayton	55	--	--	--
Debra Goldberg	8	--	--	--
Mitchell Mutnick	50	--	--	--
Susan Punett	--	73	--	--
Ralph Rector	84	6	7	13
Peter Siegelman	60	--	--	--
Daniel Sumner	10	--	--	--

(Continued)

CBO TEMPORARIES AND DAYS SERVED, 1986-1989
(Continued)

Name	1986	1987	1988	1989
Other Individual Contractors				
Kim Burke	--	--	60	--
K. Gramp	--	--	13	--
P. Gagan	--	--	1	--
L. Meyer	--	--	2	--
M. Regalia	--	--	4	--
J. Cordes	--	--	20	--
D. Kasper	--	--	1	--
S. Yoder	--	--	150	--
J. Blaker	--	--	1	--
McNichols	--	--	1	--
R. Roll	--	--	1	--
C. Sherman	--	--	10	4
M. Cantwell	--	--	22	86
P. Clark	--	--	2	--
E. Alexander	--	--	1	--
W. Cline	--	--	1	--
R. DeVries	--	--	1	--
R. Fair	--	--	1	--
S. Hymans	--	--	1	1
R. Littennaur	--	--	1	--
R. Dederick	--	--	1	1
D. Rataczak	--	--	1	--
D. Wyas	--	--	1	--
C. Ralston	--	--	5	41
C. Jenkins	--	--	15	--
D. Horowitz	--	--	--	2
M. Harris	--	--	--	1
W. Melton	--	--	--	1
A. Hamilton	--	--	--	15
S. Hadley	--	--	--	1
J. Lave	--	--	--	1
M. Binker	--	--	--	1
A. Carter	--	--	--	1
S. Drell	--	--	--	1
S. Graybeck	--	--	--	1
L. Sullivan	--	--	--	1
B. Udis	--	--	--	1
M. Griggs	--	--	--	4
A. Balestrieri	--	--	--	4
P. Kuczynski	--	--	--	1
J. Popkin	--	--	--	2
J. Prakken	--	--	--	2

NOTE: Temporary clerical employees remain on the payroll of their respective employment agencies. Our records indicate temporaries worked a total of 176 days in 1986, 142 days in 1987, 190 days in 1988, and 112 days in 1989.

a. Not all Panel members accept remuneration. A complete list of CBO's Panel of Economic Advisors is attached to the Director's statement of January 30, 1990.

CBO ADP CONTRACTORS AND INTERAGENCY AGREEMENTS

Vendor	Product Acquired	Annual Cost Fiscal Year 1989 (In thousands)	Date Last Negotiated
Commercial			
Citibase	Data	3.9	10-1-89
Connell Commodities	Data	8.0	10-1-89
Control Data	Timesharing	172.0	2-28-89
Data Resources, Inc.	Econometric Services	152.8	10-1-89
Datatimes	Data	0.2	GSA 10-1-89
Dow Jones & Co.	Data	1.7	GSA 10-1-89
The Faxon Co.	Data/Software	1.1	GSA 10-1-89
Ferguson & Co.	Econometric Services	3.0	12-19-89
General Electric Information	Econometric Services	4.0	10-1-89
Intex	Software Services	2.8	10-1-89
Macro, Inc.	Econometric Services	5.1	10-1-89
Mead Data Central	Data	2.5	GSA 10-1-89
Lawrence Meyer	Econometric Services	7.9	2-3-90
Proprietary Computer Services	Data	1.5	10-1-89
Software AG	Software License	49.4	1-4-90
Sorites, Inc.	Econometric Services	3.0	4-10-89
Telemet	Data	0.7	12-4-89
U.S. Naval Institute Data Base	Data	0.5	10-1-89
Wharton Econometric	Econometric Services	44.0	10-1-89
Federal Agency			
Department of Energy	Timesharing	0.1	10-1-88
House Information Systems	Timesharing	1,947.9	12-8-89
Library of Congress	Administrative Support	100.5	10-1-89
Library of Congress/Fedlink	Contract Support	0.4	10-1-89
National Institutes of Health	Timesharing	1.1	10-1-89

Question. With respect to the HIS and Control Data Corp. workload, enumerate the projects and services each performs, and the annual usage and cost for each.

Response. The Budget Analysis Division (BAD), the Human Resources and Community Development Division (HRCDD), and the Tax Analysis Division (TAD) are the largest CBO users of HIS timesharing. Major BAD timesharing projects include Congressional scorekeeping, budget projecting, and cost estimating. The HRCDD timesharing projects include health, education, income security, housing, and employment related tasks. The TAD timesharing projects include income tax baseline and special study tasks. Typically, the computer is used for data-base management, statistical analysis, modeling, and reporting activities that support these and other CBO tasks. The estimated fiscal year 1991 cost for all HIS projects is $1,970,000.

The Control Data Corporation (CDC) timesharing resource supports two major projects. The first project, used by the BAD, is the Comparative Statement of Budget Authority (CSBA). The CSBA is an on-line system that permits the sharing of budget information with the House and Senate Committees on Appropriations. The second project, used by the CBO Personnel Office, is an integrated personnel operations model that provides comprehensive personnel management support and CBO personnel projections. The estimated fiscal year 1991 cost for these CDC projects is $176,000.

WEDNESDAY, JANUARY 31, 1990.

JOINT COMMITTEE ON PRINTING

WITNESSES

THE HONORABLE WENDELL H. FORD, UNITED STATES SENATOR FROM THE STATE OF KENTUCKY AND CHAIRMAN, JOINT COMMITTEE ON PRINTING

JOHN A. CHAMBERS, STAFF DIRECTOR

RICHARD OLESZEWSKI, DEPUTY STAFF DIRECTOR

Mr. FAZIO. We will now take up the budget of the Joint Committee on Printing.

The official fiscal year 1991 request in the Federal budget is $1,269,000 and 17 employees, a funding increase of $96,000 or 8 percent, taking into account the 1990 sequestration and reduction for the war on drugs.

I would like to welcome the Chairman of the Joint Committee on Printing, our friend from Kentucky, Senator Wendell Ford. We may be joined later by our colleague Congressman Frank Annunzio, the Chairman of the House Administration Committee and the Vice Chairman of the Joint Committee.

We look forward to that.

We are pleased to have John Chambers, the Staff Director, as well.

Senator Ford, at this time if you would like to make a statement, we will include your complete remarks in the record.

We are glad to have you.

STATEMENT BY SENATOR FORD

Senator FORD. You are nice, Mr. Chairman.

My statement will be short this morning and give us time to answer questions without infringing on the other work you have before you this morning.

It is always a pleasure to appear before you. You have been very nice and accommodating.

I think we have been honest with each other over the time I have been associated. Under those circumstances, I hope we have made some progress.

I am here on behalf of the Joint Committee on Printing and the Budget the committee seeks for fiscal year 1991.

As you stated earlier, we are asking for $1,269,000, an amount $96,000 above the sum appropriated and subsequently adjusted for sequestration and the emergency drug fund in the current fiscal year.

The entire increase will be used in the personnel category of the committee budget—roughly half covers the COLA increase in salaries and benefits that went into effect earlier this year.

The other half would be used for a similar sequestration next January and such salary adjustments as my House successor might wish to make when he takes over the committee in the 102nd Congress, or for presently unforeseen activities.

This budget will cover nine months of the next Chairman's tenure. I want to be fair to him. To make the request, I think, would be acceptable.

Since I became Chairman 10 months ago, the committee has been able to reduce its administrative costs by 45 percent. In this period four of the 17 staff positions opened up.

As a result, our 1989 personnel outlays were not as great as expected and $149,000 of our 1989 appropriations were not used. All but one of those positions have been filled.

So the largest portion of the committee's budget has returned to its traditional ratio.

We have taken several steps that I believe could be of interest to this subcommittee. Thanks to your willingness to let the committee reprogram some of its 1989 and 1990 funds—we were able to hire our GPO detailed printer on staff as a consultant—Congress saves over $30,000 annually as a result.

We have also hired an auditor-investigator to help fulfill JCP's oversight function.

Mr. Chairman, we have only received GAO's first report in the past several weeks. It raises troubling questions about GPO's recordkeeping over the past several years.

As we get a more complete picture we will, of course, share it with you.

Mr. Chairman, because the Chairmanship of the Joint Committee rotates each Congress, the opportunity to implement change is narrow.

Over the past 10 months the committee has sought to convince government agencies to stay away from up-scale glossy publications where less expensive black and white printing provides the same information; and to review the service philosophy of our central printer—the Government Printing Office—so that it finds less costly ways to perform the essential function of information for all our citizens.

Mr. Chairman, the Chairman of the Committee in the last Congress, Mr. Annunzio, has a prepared statement.

I would appreciate it if it could be included in the record at this time?

Mr. Fazio. I certainly will do that.

[The statement of Congressman Annunzio follows:]

STATEMENT OF
THE HONORABLE FRANK ANNUNZIO
VICE CHAIRMAN, JOINT COMMITTEE ON PRINTING
BEFORE THE
SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS
OF THE HOUSE COMMITTEE ON APPROPRIATIONS
JANUARY 31, 1990

Mr. Chairman and members of the Subcommittee, as you well know from reviewing past Joint Committee on Printing budgets, the scope of our activities is substantial. We oversee and set policy for every aspect of Government Printing Office operations, including in-house printing production, printing procurement, labor relations and the Superintendent of Documents' distribution, sales and cataloging and indexing programs. At the same time we work with Executive Branch Departments and Agencies to insure that their printing and distribution programs conform to laws and regulations that promote efficiency and cost effectiveness. In addition, we constantly work with Congressional offices and the GPO to devise ways to produce our own publications more efficiently. Our efforts toward these ends annually achieve savings that are many times larger than our operating budget, a budget that, when adjusted for inflation, has barely changed in ten years.

This year's submission to you follows past practice in requesting $1,269,000. This request is $57,000 less than requested last year, and only $78,000 more than was originally approved for FY 1990, prior to the sequestrations. I am pleased, therefore, to join my friend and colleague, the senior Senator from Kentucky, in presenting this proposed budget for the Joint Committee on Printing. I believe it is a conservative and reasonable request to allow us to continue our efforts on behalf of the American taxpayers. I urge you to give it favorable consideration.

Senator **Ford**. That completes my statement.

Mr. **Fazio**. We appreciate your willingness to stay with us if you can. We do have a few questions.

Senator **Ford**. I would be delighted to.

OVERSIGHT RESPONSIBILITY OF COMMITTEE

Mr. **Fazio**. Because the committee has oversight responsibility over government printing in general, I wonder if you can tell us about some of the projects you have initiated that resulted in improvements and savings. I know you highlighted a couple of them.

The focus should be on the good work the Joint Committee does in saving the taxpayers' money.

Senator **Ford**. We have made some people very uncomfortable, Mr. Chairman, with our approach. I don't mind that at all.

In 1989 the Joint Committee on Printing, working with the Executive Branch agencies were able to achieve savings or cost avoidance totaling more than $11 million. Similar activities in the Legislative Branch led to savings of over $4 million.

Joint Committee oversight of GPO makes that figure higher with savings and cost avoidances topping $10 million.

The staff prepared several examples, Mr. Chairman, a detailed list of activities which led to the achievement of these substantial savings, and, Mr. Chairman, they were over $25 million in 1989.

I would ask they be made part of the record.

Mr. **Fazio**. We will be pleased to do that.

[The information follows:]

SAVINGS/ACTIVITIES HIGHLIGHTS

IN 1989, THE JOINT COMMITTEE ON PRINTING, WORKING WITH EXECUTIVE BRANCH AGENCIES, WAS ABLE TO ACHIEVE SAVINGS OR COST AVOIDANCES TOTALLING MORE THAN $11 MILLION. SIMILAR ACTIVITIES IN THE LEGISLATIVE BRANCH LED TO SAVINGS OF OVER $4 MILLION AND JOINT COMMITTEE OVERSIGHT OF GPO MAKES THAT FIGURE EVEN HIGHER WITH SAVINGS AND COST AVOIDANCES TOPPING $10 MILLION. THE STAFF HAS PREPARED SEVERAL EXAMPLES AND DETAILED LISTS OF ACTIVITIES WHICH LED TO THE ACHIEVEMENT OF THESE SUBSTANTIAL SAVINGS OF OVER $25 MILLION IN 1989. I WOULD ASK THAT THEY BE MADE A PART OF THE RECORD.

Congressional Directory
Example of Legislative Branch Savings

For the past two Congresses, the Joint Committee on Printing has updated existing electronic files and used GPO's dial-up composition technology to significantly reduce the overall cost of the Congressional Directory. These new procedures greatly reduce the requirements for keyboarding and proofreading, thereby decreasing the need for GPO detailed printers. With the new system partially in place, the total cost of the 1989 publication (101st Congress) was $193,000 less than the previous edition.

In the future, we expect to continually update the electronic files as information becomes available. As a result, the heavy workload that usually follows the November Congressional elections will be less burdensome. And accordingly, future editions of the Congressional Directory can be produced sooner and at a lower cost.

Section 721 of Title 44, U.S. Code, provides for a Second Session supplement to the Congressional Directory, For several years now the Joint Committee has opted not to print supplements in an effort to save additional money. However, since the electronic files will be updated on an ongoing basis, Directory information may now be suitable for dissemination to Congressional offices as a retrieval data base and the cost for providing the information in this format would be minimal.

House Information Services (H.I.S.) already supports large data bases for the Congressional Record, bills and reports, the U.S. Code, and other Congressional products. With the Directory on-line, Members' offices and Committees will soon have the ability to search the publication for the most recent Executive and Judiciary Branch listings as well as updated entries for the Legislative Branch. To ensure the accuracy of information, the new electronic product would be updated on a quarterly basis. This additional service would add little cost both to the Congressional Directory program and to other operations associated with access and retrieval of electronic information through H.I.S. Finally, to offset any additional costs, the Joint Committee on Printing will direct the GPO to market supplemental Congressional Directory updates to Federal Agencies and the public in electronic format.

Improvements In Army's Departmental Printing Management Program An Example Of Executive Branch Savings

The Joint Committee on Printing has continued to work with the Department of the Army to improve its management of field printing operations by assessing printing equipment and by taking advantage of private sector printing firms through the Federal Printing Program.

Fiscal Year 1989 marked the first time Army was able to submit to the Joint Committee an annual consolidated printing equipment acquisition plan for its 64 Army-wide printing and duplicating facilities. In the past, Army has submitted repetitive individual equipment requests throughout the year. After a detailed review and analysis of the plan by the Joint Committee, 35 pieces of equipment, for 14 of the printing and duplicating facilities were determined to be unnecessary and therefore were not approved by the Joint Committee. The cost avoidance for the 35 pieces of equipment achieved an estimated savings of $1,908,300. Additional savings ultimately will be made possible by directing the work that would have been done in-house on the proposed equipment, to the Federal Printing Program for procurement from the private sector.

Procurement of printing and printing-related products is generally far less costly than having such work produced in a typical Departmental field printing facility. Current cost comparisons indicate that savings on the order of 50 percent are realized through commercial printing production. The Department of the Army could realize even greater savings if its internal fiscal systems would permit the easier allocation of more funds for commercial procurement of printing. For Army organizations to shift any portion of their funding from expensive in-house production to Government Printing Office managed printing procurement, is now a long and difficult process.

However, the Joint Committee on Printing continues to work closely with Army personnel and the GPO to reduce the Department's reliance on in-house capabilities and to shift more of its printing requirements to less costly private sector procurements.

JOINT COMMITTEE ON PRINTING OVERSIGHT OF GPO

During Fiscal Year 1989, the Joint Committee approved a number of actions at the Government Printing Office designed to improve the use of space, and to better coordinate staff to achieve more efficient operations. A summary of those actions follows:

Type of Action	Total Valuation
Procurements	
Paper	$47,089,530
Equipment	4,111,561
Materials/Supplies	3,122,296
Subtotal	54,323,387
Leases	7,328,708
Service Contracts	30,511,191
Repairs/Renovations/ Maintenance	1,500,500
TOTAL	$93,663,786

JOINT COMMITTEE ON PRINTING APPROVALS OF GPO REQUESTS

EQUIPMENT

FY 89 Capital Equipment Expenditures for 38 Items	$3,483,961
WYSE Personal Computer for Precision Instrument System	137,000
Purchase spare parts inventory for Passport Bindery Equipment	100,000
Purchase fork lift press	23,900
Purchase 4 perforating numbering machines	47,200
Purchase laminating device for passport binding equipment	210,000
Passport Quality Control Equipment	109,500
TOTAL:	$4,111,561

MATERIALS/SUPPLIES

FY 89 Materials & Supplies Expenditures for 32 items	$3,097,296
Procurement of CD-ROM software	25,000
TOTAL:	$3,122,296

LEASES

FY 89 Leasing of Warehousing & Office Space Total of 48	$6,336,836
Moving and Rental Increase for San Diego Satellite Printing & Procurement Office	15,000
Relocation and Expansion of Columbus, Ohio Regional Printing & Procurement Office	10,000
Relocation of Chicago, Illinois Regional Printing & Procurement Office	300,105
Expansion of San Francisco (Treasure Island) Printing & Procurement Office	31,500
Rental of Parking Space	$ 635,267
TOTAL:	$7,328,708

JCP APPROVALS (CONTINUED)

SERVICE CONTRACTS

FY 89 Support Services (Contracts and Interagency Agreements)	$6,719,979
FY 89 Service contracts for Automatic Data Processing Equipment, Software, Maintenance	2,446,290
FY 89 Maintenance Service Contracts (2)	173,992
FY 89 Communications Service Contracts (10)	15,763,679
FY 89 Delivery and Hauling Contracts (17)	382,364
FY 89 Utility Services Contracts (17)	4,975,487
FY 89 Duplicating Services Contracts (4)	25,000
Key Punching Services from Prison Industries	24,400
TOTAL:	$30,511,191

REPAIRS/RENOVATIONS/MAINTENANCE

Rebuild 3 Circuit Breakers	$ 100,000
Expansion & Renovation of Camera Room	23,400
Cost Increase for Removing PCB Transformers	1,200,000
Contract with NIH for Removal of Hazardous Waste	100,000
Emergency Repairs to Transportation Section	77,100
TOTAL:	$1,500,500

GRAND TOTAL: $46,574,256

JOINT COMMITTEE ON PRINTING DENIALS OR DEFERRALS OF GPO REQUESTS RESULTING IN COST SAVINGS AND AVOIDANCES

The Joint Committee feels that there are a number of critical policy, operational and facilities issues that need to be addressed as soon as the Government Printing Office is under the leadership of a new Public Printer. Given the significant impact and broad scope of these issues, the approval of some activities proposed by GPO would have effectively committed GPO to certain costly directions on a long-term basis. This would have precluded the ability of a new GPO management team to fully assess GPO's situation and effect long overdue improvements that would achieve overall cost savings as well as provide enhanced levels of service to their Congressional and Executive Branch customers. Therefore, the approval of a number of requested actions, valued at approximately $10,535,355 has been appropriately deferred until GPO's new management team is in place.

DEFERRALS

FY 89 Capital Equipment Expenditure Requests:

Optical Disk Storage System	$1,500,000
Acquisition of CA-UNICENTER	86,000
Systems Design Modular Workstations	50,000
Consulting Services-Employee Profiles	100,000
SIMWARE and related software	50,000
Position Description System Services	200,000
2 Processors for System 36	50,000
Lease and evaluate high speed copier	60,000
Office Automation System	115,700
Graphics Scanner	50,000
Automatic Shrink Wrap System	60,000
Black/White Scanner & Processor	91,000
2 32-page web presses	3,523,000
16 page web press	420,000
Roll Lift & Robotic Handling Equipment	1,395,000
Automatic Web Splicers	195,000
Production of Television PSA's	135,000
High Volume Copier	34,200
2 Laser Printers	28,000
Construction of Security Room	23,120
2 Xerox Copiers	38,635
Transport Documents to Records Center	26,500

DEFERRALS (CONTINUED)

Ad Hoc Requests

Purchase and Installation of Modular Office System in Consigned Branch at Laurel Warehouse	61,200
Establishment of Child Care Center	1,300,000
Conversion of Air Conditioning Units Serving EPD's Text Processing Computer and Phototypesetting Sections	65,000
TOTAL:	$9,657,355

DENIALS

Excavation/Upgrading of Parking Lot 14	$ 28,000
Suspension of activity to construct and furnish new open-space office complexes on NE corner of 7th floor, Bldg. 3	500,000
Suspension of Action for procurement of Market Research Study for CD-ROM & FM Broadcast	100,000
Denial for Comprehensive Consultant's Study GPO's Discordant Pay System	250,000
TOTAL:	$ 878,000
GRAND TOTAL:	$10,535,355

LEGISLATIVE BRANCH SAVINGS
ACHIEVED THROUGH
JOINT COMMITTEE ON PRINTING OVERSIGHT

The Joint Committee on Printing and the Congress have acted to reduce expenditures of appropriated funds in the Legislative Branch. The $4,101,208 savings achieved arise both from actions taken during the past year and from prior years' actions that have been continued as policy.

1. Reduced the cost of the Congressional Serial Set (the bound compilation of all reports and documents issued by Congress) by printing the appendices of the Iran-Contra hearings only once since these voluminous appendices were identical for both the House and the Senate. FY '89 savings is $600,000

2. The 1988 edition of the United States Code is being distributed during 1990. The Joint Committee on Printing reduced the number of copies distributed to Congress by 550. The Government Printing Office estimated that a cost savings of $343,108 was realized.

3. Utilized automated printing technology and data base to produce the Congressional Directory and the Veterans organizations reports. Combined FY '89 savings is $252,800.

4. Reduced the number of hearings and committee prints ordered by Committees at an annual savings of $828,000.

5. Directed the Government Printing Office not to print a separate Congressional Record on those days when Congress is in Pro Forma session. The proceedings from these sessions are included in the subsequent day's Record. The savings is based on eliminating eight issues of the Congressional Record at an estimated printing cost of $6,400 each. FY '89 savings is $51,200.

6. Eliminated the rekeying of data captured in the Congressional Record and in certain bills. The Clerk of the House reuses the keystrokes in publishing the House Journal as does the Secretary of the Senate in publishing the Senate Journal at an annual combined savings of $550,000.

7. Authorized Congressional Committees to receive their hearings and committee prints in microfiche, thus reducing the need for binding of paper copies. Five committees subscribe to this procedure at an annual savings of $179,000.

8. Directed the Executive and Judicial Branches to pay from their appropriations for Statutes at Large and U. S. Treaties and Other International Agreements. Annual savings to the Legislative Branch Appropriations is $712,000.

9. Directed the Executive and Judicial Branches to use their appropriations to pay for the U.S. Code. The savings of $204,600 to the Legislative Branch is based on the completion of the 1988 edition of the U. S. Code.

10. Eliminated the printing of the State Department's publication, Foreign Relations of the United States, as a House Document. The State Department now provides Congress with copies from its allotment. Annual savings of $19,500 are based on $6,500 per part for the three part series.

11. Authorized GPO to produce a microfiche edition of the daily Congressional Record for by-law recipients. Upon request 1,400 sets are now distributed in place of hard copy at an annual savings of $161,000.

12. Directed the GPO to reduce the number of copies of Congressional Hearings and prints for the Depository Library System at an annual savings of $200,000.

EXECUTIVE BRANCH SAVINGS
ACHIEVED THROUGH
JOINT COMMITTEE ON PRINTING OVERSIGHT

FY 1989 TOTAL SAVINGS: $11,282,618

In FY-1989, the Joint Committee on Printing reviewed and approved Federal printing initiatives that resulted in an estimated $11,282,618 in savings to the Government.

Oversight of Federal Printing Plants

The Joint Committee on Printing is responsible for oversight of the remaining 234 authorized Government printing plants located throughout the world. The JCP staff constantly reviews the requirements for such facilities and encourages work to be directed to less-costly commercial sources via the Government Printing Office whenever practical. When a department's printing-related requirements change so that a dedicated on-site printing plant is no longer required, the Joint Committee directs its closing and the redirection of all remaining workload to the private sector. Sixty percent of the existing printing plants are operating to support various Department of Defense organizations.

During Fiscal Year 1989, the Joint Committee disestablished three printing plants that resulted in a total projected savings of $463,340. The affected plants are:

National Labor Relations Board Washington, D.C.	$201,286
National Defense University Washington, D.C.	193,062
Department of the Army Military Community Activity Garmisch, Germany	68,992
TOTAL:	$463,340

Oversight of the Purchase of Printing Equipment and Related Authorizations

The Joint Committee took actions on equipment requests and related actions that have resulted in total savings in Fiscal Year 1989 of $10,819,278. The following is a summary of those savings.

	Fiscal Year 1989 Savings
Department of Agriculture	$ 819,251
Department of the Air Force	885,146
Department of the Army	4,448,075
Department of Commerce	572,000
Defense Logistics Agency	49,000
Department of Energy	158,800
Environmental Protection Agency	3,000
Department of Justice	18,000
Department of Labor	55,000
National Aeronautics & Space Administration	50,000
Department of the Navy	3,621,806
Smithsonian Institution	19,200
Department of State	120,000
TOTAL:	$10,819,278

Breakdown of Savings From Printing Equipment and Related Authorizations

The following is a list of equipment approval or denials, and related actions which resulted in annual savings beginning in Fiscal Year 1989.

Agency	Fiscal Year 1989 Savings
Agriculture	
Purchase offset press	$ 25,000
Purchase two electronic printing systems	134,251
Purchase four electronic printing systems	660,000
Subtotal:	$ 819,251
Air Force	
Purchase electronic publishing systems	$ 280,560
Modernization of printing plant pressroom	526,000
Purchase electronic publishing system	20,809
Purchase electronic typesetting system	57,777
Subtotal:	$ 885,146
Army	
Purchase heavy duty stitcher	$ 10,000
Purchase collator with binder	60,000
Purchase three printing presses	115,979
Purchase four color press and bindery equipment	750,000
Purchase various pieces of printing equipment	3,186,386
Purchase electronic printing system	57,960
Purchase two electronic publishing systems	24,000
Purchase electronic publishing systems	243,750
Subtotal:	$4,448,075
Commerce	
Reduced paper, mailing and distribution costs in the publications' programs	$ 500,000
Purchase photocomposition system	72,000
Subtotal:	$ 572,000

Defense Logistics Agency

Purchase paper cutter	$ 49,000

Energy

Purchase programmable paper cutter	$ 10,000
Purchase electronic publishing system	55,400
Purchase two illustration and graphic systems	55,400
Purchase 13-station, sheetfed collator	38,000
Subtotal:	$ 158,800

Environmental Protection Agency

Lease/purchase xerographic copier/duplicator	$ 3,000

Justice

Purchase electronic printing systems	$ 18,000

Labor

Purchase automated composition systems	$ 55,000

National Aeronautics and Space Administration

Purchase folder	$ 50,000

Navy

Lease offset press	$ 120,000
Purchase photocomposition system	24,000
Purchase offset press	24,160
Purchase numbering/perforating machine	9,405
Purchase offset press	11,400
Purchase two stitchers	8,270
Purchase gatherer	98,000
Purchase offset press	162,000
Purchase offset press	66,300
Purchase collator	56,000
Purchase perfect binder	22,250
Purchase offset press	28,400
Purchase stitcher	14,900
Purchase numbering/perforating machine	4,000
Purchase offset press	3,741
Purchase miscellaneous printing equipment	11,600
Purchase collator	25,600
Purchase offset press	75,500
Purchase four stitchers	25,280

Navy (con't.)

Purchase electronic page printing system	$ 59,000
Purchase tab cutter	29,200
Lease electronic printing system	135,000
Purchase cleaner/dryer	4,000
Lease electronic printing system	190,800
Purchase electronic composition system	100,000
Lease electronic printing system	200,000
Purchase electronic printing system	63,000
Lease electronic printing system	900,000
Lease electronic printing system	250,000
Purchase electronic printing system	100,000
Purchase electronic printing system	500,000
Purchase electronic printing system	300,000
Subtotal	$3,621,806

Smithsonian Institution

Purchase lettering and typesetting system	$ 19,200

State

Lease press	$ 120,000
Total:	$10,819,278

CONTINUATION OF EXECUTIVE BRANCH PRINTING LIMITATION

Mr. Fazio. We have continued to insert language in the bill for the past three years that requires the Executive Branch to go through GPO when they want to procure printing from commercial sources.

Has that language had its intended effect? Is it working? Should it be made permanent law?

Senator Ford. I want to thank the committee for continuing the language requiring all government agencies to print with the Government Printing Office. I am pleased Congressman Bates has proposed to make this language part of the permanent statute.

However, until that is actually achieved, I would hope that you would keep this clause in the appropriations bill. I think it is useful in controlling the cost of government printing.

I think it keeps a number of agencies from straying.

I was besieged this time last year and now this year with wanting elaborate, fancy, four color, three color, slick sheets and all that sort of thing that is more informational than it is, say, recruiting or things of that nature.

If we could keep this in here and there would be the ability of the committee to give some oversight and control to it, I would be grateful. I hope it could be made a permanent part of our legislation, our statutory regulations.

Mr. Fazio. Are there any agencies that are particularly hard to deal with in this regard? Some of them eventually might want to be exempted.

Obviously if some agencies have the message and are working cooperatively and others aren't, over a period of time, we may want to make them examples.

Senator Ford. Well, let me say this. The Smithsonian, of which Congresswoman Boggs is very close to, has made a request to me.

It looks like it might be very reasonable. The Smithsonian is somewhat different. They generate their own funds.

They use their annual report as a recruiting piece and also for funds that the Smithsonian can use in the contributions made to them. I think they may be singled out as a special situation.

However, if the cost is going to be in the tens of thousands of dollars in addition, I am not sure that we want to do that.

So, I am asking them to prepare a statement as it relates to the cost under our rules and the cost of theirs, and then the committee will look at it and see if we can move forward with it.

The Library of Congress is another institution that would like to have a much more glamorous report. We are going to look at that.

What it says then is we can't recruit on college campuses, we can't do this unless we have a fancy brochure. I am not sure that we are going that far, Mr. Chairman.

One of the things we have been able to do is to say to those that disseminate just information, we will keep that black and white.

That, I think, is where we have been able to save most of our money and to restrict the ability to go out and buy equipment on their own, do all these things and not follow the rules or the statutes.

We have been calling them in and saying, "This is what the law says. This is the way you are supposed to do it. We will not tolerate anything different."

You are beginning to see now that as we bring them in, we can return approximately $25 million in less than 12 months. I think if we continue on that path, you will find that we can disseminate the information properly, properly received, and not squander taxpayers money.

There is always a clamor out there for something more, something better, and they all probably have good reasons.

But, I also have a good excuse.

Mr. Fazio. Is OMB being cooperative?

Are they helping us? Do they see the potential for saving here? Theoretically, that would be their purpose.

Senator Ford. I think most of them, Mr. Chairman, look to us and say that what we are doing is basically correct. OMB——

Mr. Fazio. However, in this case, there is always that need for an exception here.

Senator Ford. I understand that. You notice that the budget came out in two colors. It is blue.

I thought they ought to have red. Nevertheless, it came out in blue.

Mr. Fazio. Will it ever be black?

Senator Ford. I don't think so, not the way we are looking at it.

REDUCTIONS IN JCP ADMINISTRATIVE COSTS

Mr. Fazio. We were pleased to note some reductions in your administrative costs by some 45 percent. Is that permanent?

Senator Ford. That is administrative and not in the personnel.

Mr. Fazio. That is still important. I would like to tell this to some of the other agencies that we deal with.

Senator Ford. I find you ought to operate your committee like you operate your office. You want to be able to reach your constituents, but you don't want your constituents to be able to point a finger at you and say you are spending their money to get the message to them, which they don't want you to do.

I think the administrative position of the committee has been good. The personnel in the committee have worked very hard.

I have no problems with the so-called professional staff and political appointees. Since I have been Chairman, the committee staff has been at or below the ceiling of 17 authorized.

We currently have 16. If you look at the detailed printer that we have brought on you could say really we have only 15.

Under the circumstances I hope we have not been dilatory in our performance and that we have been able to give those who ask for help adequate help and some direction.

I am pleased with what we are doing so far. I would like to do more. At some point I remember when I was governor, we were always pleased when statistics went down that were bad and you knew when they went down so far, at one point they would bounce up again.

I am trying to keep them at a level that would be consistent and we all agree with COLA and other necessary items as far as expenses are concerned.

Mr. Fazio. I will insert some questions in the record on these reductions:

[The questions and responses follow:]

Reduction in Administrative Costs

Question. Your statement indicates you have administrative costs by 45 percent. Explain those reductions.

Response. In fiscal year 1988, the Joint Committee on Printing's overall administrative expenses amounted to $24,414. Those same expenses in FY 1989 totalled $14,265, which was $10,149 or approximately 45 percent less than the previous year. The reductions were achieved in the areas of Committee Travel ($10,645), Supplies and Materials ($1,514), and Communication and Utility ($110) expenses and were offset by an increase to other services ($2,120) for a net decrease of $10,149.

Question. Are these permanent reductions? Have you actually reduced annual administration by 45 percent?

Response. As I mentioned earlier, my House successor will administer the major portion of this budget. So I am not in a position to tell you how permanent these reductions are. But I do believe that this budget proposal does reflect the policy I have tried to institute. Excluding the amounts allocated for our contract consultant in each year, our FY 1991 request for administrative activities is 37 percent less than our current FY 1990 administrative budget.

Question. For the record, show these reductions through comparison between the budget and the appropriate base year.

Response. A table comparing the Joint Committee on Printing's FY 1988 and 1989 administrative expenses (actual) to the corresponding budget base for the same years, broken down by object class, appears below. The table also lists the amount of increase or decrease by object class for the two fiscal years, and subsequent totals for all categories of expense.

Object class	Fiscal year 1988		Fiscal year 1989		Amount of increase or (decrease)	
	Budget base (available)	Actual expense	Budget base (available)	Actual expense	Budget base (available)	Actual expense
Travel	$14,000	$15,924	$14,000	$5,279	0	($10,645)
Supplies and materials	6,000	5,843	10,000	4,329	$4,000	($1,514)
Communications and utilities	1,000	169	1,000	59	0	($110)
Other services	10,000	2,478	15,000	4,598	5,000	2,120
Total	31,000	24,414	40,000	14,265	9,000	(10,149)

TEMPORARY AUTHORITY FOR ONE STAFF POSITION

Mr. Fazio. Two years ago, we provided JCP with temporary authority to go from 17 to 18 staff positions to allow the attrition of a majority staff position.

It sounds like attrition has occurred. You are back down to the authorized level of 17. Is that right?

Senator Ford. Yes, sir.

That is correct. We are actually one under that. If the printer is—if you want to include that position as a member.

Otherwise, we don't look at that as a professional staff member. We have been able to save about $30,000 with that.

We think that makes the figure 15 rather than 17.

DISCUSSION ON ALKALINE PAPER

Mr. **Fazio**. Last year we directed GPO to develop a plan to convert to non-acid paper.

Have you collaborated with GPO on that project? Are you making any progress?

Senator **Ford**. We have worked with GPO in the use of the so-called acid free alkaline papers. The Joint Committee has had a permanent paper standard now for several years.

Any government agency with a publication of enduring value can produce it right now on alkaline paper by asking GPO to use that type of paper.

I am very pleased to tell you that 60 percent of the paper GPO purchased directly in fiscal year 1989 was alkaline.

Also, the Joint Committee requires that paper manufacturers selling paper to GPO have alkaline paper so it can be easily used in appropriate publications. You should also know that 40 percent of the publishing paper now manufactured in the United States is alkaline.

So, we have had some influence in that respect because government has been insisting. Within two or three years, the industry feels that the majority of the so-called book-grade papers produced here will be alkaline.

This rapid change is due largely to economic advantages in the manufacturing process and real customer demand.

I would like to thank the Congress, as I said earlier, which has played a part in this conversion to the long lasting papers.

Mr. **Fazio**. You are saying this is not costing us any more money to use acid-free paper? In fact, at times it may be cost efficient?

Senator **Ford**. It is. It is getting closer to that because of refinement and new techniques. I believe it is rapid change rather than something that will be long-term.

Mr. **Fazio**. Perhaps it won't be long until you we are at 100 percent?

Senator **Ford**. I don't think we will be at 100 percent. I heard a fellow say the other day that this machine is running at 105 percent. I don't know what that means. I would say we will be close to that and alkaline paper is going to be very important.

New processes are making it affordable.

Mr. **Fazio**. I guess it could be the nonrecyclable paper that you don't intend to save for any period of time?

Senator **Ford**. It could be that it would be somewhat cheaper. When you begin to run that through there and all one kind, maybe it will get closer to that position, Mr. Chairman.

Mr. **Fazio**. Are they recycling paper at GPO? I am thinking of it because we are recycling in my office now, worrying about which element of the waste basket we throw things into.

My office is involved with it, as are many offices on the House side.

Mr. **Myers**. I couldn't hit the old one.

Mr. **Fazio**. We have three baskets now.

Senator **Ford**. Mr. Chairman, we are. The price of recycled paper is beginning to come down, like the alkaline paper. Yes, we are recycling.

Mr. FAZIO. Our scrap paper is organized for maximum handling and recycling.

Senator FORD. We made an effort to use paper and treat it for insulation back 10, 12 years ago, you know. That was not only recycled, but it was used as insulation. I am not sure how good it was. I don't hear much about everybody trying to get paper loaded up to insulate with. Many homes several years ago used it.

GPO DETAILS TO CONGRESS

Mr. FAZIO. Let's go to my last series of questions that relates to the details to Congress. Maybe then, John Myers or others would have some questions.

Last year we asked the Joint Committee to help find an alternative for some of the smaller committees, that is the joint committees and the special and select committees, who have full-time detailed printers from GPO. Obviously, their printing needs are less than the standing committees with greater jurisdiction.

We had seen what we thought was permanent staffing of these other committees with printers detailed from GPO. You asked us for some help in soliciting some members of these committees, which we supplied through report language and letters to the appropriate chairmen.

I am wondering what plan you have developed for these minor committees, not minor in importance, but minor in terms of their printing requirements?

Senator FORD. Mr. Chairman, I recently sent to you a Joint Committee on Printing staff proposal that aims to reduce the cost of detailed printers. Basically, it proposes to set up a center in the House and a center in the Senate where one or more printers would be available during hours when this kind of work is needed.

The aim of the plan is not to take away printers from committees that employ them full time, but to provide less frequent users a place to bring their printing needs. Installation costs, I believe, under those circumstances could be avoided.

Over time costs could be offset for committees that are watching their budget. Overload problems could be resolved in unforeseen circumstances that might come up. I know these printers are in great demand.

It testifies well, I think, Mr. Chairman, to the kind of service that these people are providing the Congress. Additional controls must be imposed on the cost Congress is paying. This may be one way to ease the burden.

Mr. FAZIO. Well, I think the pooling concept that you have outlined makes sense. I think you have to be careful, though, that we do not keep the detailees on these committees when the pool is created. There are some committees that might be inclined to keep some of the detailees and then to some degree duplicate their efforts with the pooling concept.

Second, you might want to be cautious about trying to rope too many of the more important permanent committees into this concept because it would defeat the purpose of the pool for the smaller committees that don't have as much printing.

Senator **Ford**. I think the Chairman is correct in being sensitive about this. I think we need to try and search for an approach that would be acceptable and one that would not infringe upon the jurisdiction or needs of major committees.

So, as we submit these proposals and suggestions, they are not in the nature of a permanent position, but a position of trying to find a way and ease our way through the mine field to success, I hope.

Mr. **Fazio**. Senator, we are going to place in the record your letter of January 23, 1990, which outlines this proposal.

Senator **Ford**. I appreciate it very much.

[The letter follows:]

Congress of the United States
Joint Committee on Printing
818 Hart Senate Office Bldg
Washington, DC 20510-6650
(202) 224-5241

WENDELL H. FORD, Senator from Kentucky,
Chairman

DENNIS DeCONCINI, Senator from Arizona
ALBERT GORE, JR., Senator from Tennessee
TED STEVENS, Senator from Alaska
MARK O. HATFIELD, Senator from Oregon

JOHN CHAMBERS, Staff Director

FRANK ANNUNZIO, Representative from Illinois,
Vice Chairman

JOSEPH M. GAYDOS, Representative from Pennsylvania
JIM BATES, Representative from California
PAT ROBERTS, Representative from Kansas
NEWT GINGRICH, Representative from Georgia

RICHARD OLESZEWSKI, Deputy Staff Director

89064 January 23, 1990

The Honorable Vic Fazio
Chairman
Legislative Subcommittee on
Appropriations
Committee on Appropriations
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

Over the past several years each of our Committees has increasingly been concerned with the growing cost of detailed printers assigned to Congress from the Government Printing Office. Ten months ago when I became Chairman of the Joint Committee on Printing, I was able to head off a significant increase in these fees by convincing the Acting Public Printer not to raise the regular and overtime hourly rates for detailees. (He had planned to raise the regular rate from $26 to $30 per hour and overtime from $35 to $40 per hour).

Per my instructions, the Joint Committee has put several other cost saving policies into effect. For example, we have brought one detailee onto our payroll as a consultant. This was possible because you permitted the reprogramming of our budget. Although it shows up as a new $36,000 line item, it saves in excess of $30,000 annually in billings to Congress by GPO.

When a printer is detailed to Congress, GPO frequently installs additional equipment, the costs of which are billed to Congress. In some instances the Senate Rules Committee has found that purchasing such equipment may be much more economical than incurring long-term GPO rentals. As a result, wherever possible we are urging the prompt return of the GPO equipment to curtail Congressional costs.

Since your letter of March 20, 1989, our staffs have discussed another area of this problem -- improving GPO's management of its detailees so that overtime is not such a burden and the detailee's professional skills in composition and printing are fully utilized. Understanding your concerns for minimizing detailed personnel, I suggest the creation of two printing service centers -- one for the House and one for the Senate. Smaller users could use the center as their regular point of printing support. Larger users could bring periodic overload and overtime work to the Center. I enclose a staff proposal for your consideration.

At your staff's suggestion large and small Committee staffs have been surveyed in the House and Senate. There is some interest in using the center idea. Currently we are using part of this concept to assist the Pepper Commission in producing its final report. The Senate Legal Counsel has just published Authority and Rules of Senate Committees (Sen. Doc. 101-20) using this idea, and the Joint Committee's contribution to the Senate Rules Committee publication Inaugural Addresses of the Presidents of the United States, was a similar cooperative effort using our own detailed printer.

By and large, Committees do not wish to give up their printers. On one hand this testifies well to the ability and skill that GPO's craftsmen bring to the Congress and is a measure of the demand for the services they provide. At the same time, it tells me that until there is an alternative source under different organizational controls, the overtime aspect of this problem will not be relieved. It seems to me that properly organized and managed, the printing center concept permits Congress to put a ceiling on the numbers of printers assigned while we offer each Committee an alternative to overtime costs.

Sincerely,

Wendell
Wendell H. Ford
Chairman

Enclosure

CONGRESSIONAL
SERVICE
CENTERS
PROPOSAL

JANUARY, 1990

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EQUIPMENT NEEDED FOR CONGRESSIONAL SERVICE CENTERS

Each of the two proposed Congressional Service Centers will consist of three work stations. Each station will be comprised of the same basic equipment configuration. The only significant exception will be the addition of a Scanner and CD-ROM Reader to one of the work stations at each site.

Work Station Equipment

Each work station will be comprised of the following:

- Deskpro 386s Model 40 (Compaq) 500-113
  - Two (2) floppy discs (high density)
    - One (1) 5.25" drive
    - One (1) 3.5" drive
  - One (1) hard disc with a minimum of storage capacity of 40 MB
  - VGA enhancement board
  - VGA compatible monitor
  - Two (2) serial ports
  - Two (2) parallel ports
  - Ethernet communication board - Xerox
- PostScript capable printer
- Microsoft Mouse
- Modem - 9600 baud rate (variable baud rate adaptable)
- All necessary cabling

Work Station Software

- WordPerfect 5.0
- XYwrite III Plus
- Microsoft Mouse Drivers
- Communications software
- Typesetting, conversion programs (from GPO)
- Fastback Plus (backup)

Service Center Shared Equipment

- Kurzweil 5100 Intelligent Scanning System
  - Description: F5100 $16,155.00
  - Description: Installation and On-Site Training $250.00
  - Input Solutions, Inc.
    15906 Shady Grove Road
    Gaithersburg, MD 20877
    Gregory S. Christensen, Account Manager
    (301) 948-6620
- Cannon POC70 - Microfiche reader printer w/Automatic Fiche Carrier 150
- CD-ROM Reader: Hitachi Model CDR-1503S
  - Information phone number: (202) 682-3979

PROPOSED LOCATIONS

Room HT-1, located in the Capitol, is currently within the jurisdiction of the JCP, and is proposed for the Congressional Service Center that will service the House needs. This room is of adequate size, has the needed ethernet line already installed. It will accommodate the projected initial equipment and staff. All equipment that is now located in HT-1 will be removed. Cabling for DG equipment will be used to allow computers to have CEO capability.

Space in SHOB-808, also currently assigned to the JCP will be made available for the location of the Service Center to handle the Senate needs. This room is of adequate size, but the ethernet cabling will have to be installed to accommodate the direct-dial requirements.

TRAINING

Complete training in direct-dial composition to be provided by GPO for all personnel. The training will take place at the Joint Committee on Printing work-site, unless otherwise requested by Project Director. The training schedule will be coordinated with Congressional Service Center manager. The transmission, procedure in sending files to GPO, reclaiming files from GPO, processing files through PostScript program to prepare the aforementioned for training on-site.

Ongoing Training Support

This level of training/instruction should be provided on an as-needed basis by GPO. This will guarantee that new people coming into the Congressional Service Centers will be receiving prompt and correct training on the equipment and systems.

Timing of Instruction

At the onset this training/instruction should be completed before the Congressional Service Centers are in operation. This will ensure that personnel manning the Centers will be ready to provide an accurate and responsive level of service from the beginning.

COMMITTEES TO BE SERVED/TEST MATERIAL

The four (4) select committees and one (1) commission listed below as mentioned in Representative Fazio's March 20, 1989, letter have been contacted. A testing period can be established for these Committee's. Material to be submitted should include, but not be limited to, hearings and reports. A test period of at least six (6) months should be used to properly evaluate the Congressional Service Centers.

Congressional organizations to be initially served:

House Committee on Aging
House Committee on Hunger
House Committee on Children, Youth, and Families
House Committee on Narcotics
Commission on Security in Europe

REPORTING AND RECORD KEEPING

Record keeping forms will be generated by Congressional Service Centers prior to commencement of operations. These forms will provide for accurately reflecting the status of each job, the number of "proofs" produced by the Centers. Any other record keeping task that may arise can be incorporated as identified.

An electronic data base can be established and maintained to reflect the operations of the Centers. In addition paper charts, reports, and statistics will be maintained.

A report will be supplied, on a monthly basis, to the Chairman and Vice Chairman of the Joint Committee on Printing. A weekly report will be supplied to the Staff Director of the JCP. These reports will reflect the kind, amount of pages, number of tapes (disks), Committees, statistics for current period and cumulative figures on work done by the Centers.

TRANSMISSION OF MATERIAL (CENTERS/COMMITTEE)

Material for production into page proofs can be accepted by the Congressional Service Centers in a wide variety of mediums. Following is a proposal for each mode of transmission:

Manuscript - Original typed manuscript can be "scanned" into the system using the OCR on site. The finished file would then be type-set and returned to Committee with original manuscript, page proofs, and an electronic stored version on disk or tape.

Magnetic Tape - Tape supplied by Reporting company would be loaded into the Data General system (available at the JCP) and then down-loaded into WordPerfect to facilitate preparation for typesetting. Page proofs, original tape, and stored version on disk or tape.

Floppy Disk - WordPerfect or ASCII floppy disks (5.25" or 3.5") would be loaded into PC and prepared for transmission to typesetting. Original disk, page proofs, and stored version on disk or tape would be returned to Committee.

Camera Ready Copy - Where possible all material submitted by Hill offices for printing will be "scanned" into the system. Whenever time or personnel limitations do not allow for "scanning" then material that could be reproduced "as is" in camera-ready format will be transmitted to GPO by Centers. When proofs are received by Center then original copy and camera ready proofs will be returned to Committee.

Modem - Electronic transmission of data, at any baud rate up to 9600, by modem should be encouraged. Where available this would insure prompt return of data to the offices involved.

STAFF FOR CONGRESSIONAL SERVICE CENTERS

Staffing for the Congressional Service Centers will be provided by the Government Printing Office. GPO detailees who are presently working for the five Congressional organizations identified in Rep. Fazio's March 20, 1989, letter will be recruited initially.

If the Center's scope of operation is enlarged, more staff can be added. As Committees find that the Centers are fulfilling their needs for printing, these organizations may consider returning to GPO those printers who are assigned directly to their staffs.

WORK SCHEDULE FOR SERVICE CENTERS PERSONNEL

Initially the Center's work schedule will cover a twelve (12) hour time period each workday. This will ensure that the Centers will be available to Congressional needs from 7 AM till 7 PM workdays. The schedule will be met by having one person begin work at 7 AM and leaving at 3 PM, and another person staring at 11 Am and working until 7 PM in each Service Center.

When the Service Centers are fully operational, staffed, and workload builds, they can be staffed for a full 24 hour period, 5 days a week. This will be accomplished by having three eight hour shifts in place with starting times of 7 AM, 3 PM, and 11 PM. This staffing arrangement will allow for the Service Centers to be covered for processing of material on an efficient and expeditious schedule with a minimum of overtime expense.

Mr. **Fazio**. Are there questions from my colleagues?

Mr. **Myers**. I apologize for arriving late. I don't know how people have had time to read that budget. My office is full with people who want to criticize the budget.

They kept me so busy that I have not had time to look at it yet.

Senator **Ford**. It is the late nights and early mornings.

Mr. **Myers**. We have that, too.

Senator **Ford**. I understand that.

Mr. **Myers**. I don't know how all of you read it and know so much about it and I know so little about it.

Senator **Ford**. I think what you find is some people have a particular part of that budget they are really interested in, and they get that. Pretty soon you put them together and everybody has a scenario.

Mr. **Myers**. They are lined up really wanting to talk about it.

So, I am sorry I got here late.

Senator **Ford**. That is all right. I am delighted I had an opportunity. This is the third time I have been before this committee, and I have enjoyed it every time.

I want to thank you for your cooperation.

Mr. **Myers**. That is more than double jeopardy for me.

Senator **Ford**. Something like that.

Mr. **Fazio**. Mr. Porter, any questions?

Mr. **Porter**. No questions now, but I do have some to be inserted into the record.

Mr. **Fazio**. Mrs. Boggs is here. I want to make sure she has no questions.

Mrs. **Boggs**. I had a private meeting with Mr. Ford before the meeting commenced.

Senator **Ford**. And I agreed with everything she asked for.

Mr. **Fazio**. Thank you very much. I will insert questions in the record.

[The questions and responses follow:]

Question. You are asking for an overall increase of 8 percent ($96,000). There are reductions in your expense accounts, but how do you justify a 10 percent increase in staff salaries, on top of an 8 percent increase between the FY 1989 and 1990 budgets?

Response. When the FY 1991 budget request was first prepared and submitted to the Senate Disbursing Office for inclusion in the President's Budget, the Joint Committee on Printing sought an increase of $78,000, or approximately 6 percent, over the amount that was initially approved by your committee for FY 1990. Subsequent to that submission, the Gramm-Rudman sequestration and the drug funding adjustment decreased our FY 1990 budget by $18,000. As a result, the amount requested was then $96,000 larger than the adjusted amount for FY 1990. Hence, the increased percentage.

As I noted in my opening statement, approximately half of the requested increase will cover the cost-of-living-adjustment granted in January of 1990, as well as any corresponding hike in the associated costs of benefits. The balance would be available to my house successor as Chairman, for such salary adjustments that he may wish to make in the 102nd Congress. The initial request, therefore, sought an increase in discretionary spending authority (that is, non-COLA funds) of about 3 percent.

Question. For the record, what are the components of this increase?

Response. Although the various components of the increase can be identified as to category of expense, the exact percentages or amounts associated with each component can only be estimated at this time. Those components, with the corresponding increase (approximately), are as follows:

Personnel compensation:	
Cost-of-Living-Adjustment (COLA)	$37,000
Reserve for salary and other adjustments in 102d Congress	37,000
Personnel Benefits:	
Increase in Agency Contributions	22,000
Total	$96,000

QUESTIONS SUBMITTED BY CONGRESSMAN PORTER

Question. What is the maximum recycled content that Federal agencies may stipulate when purchasing paper and paper products?

Response. Federal agencies may stipulate any level of recycled content that they wish. GPO will attempt to purchase the paper or printed product to meet the request. In absence of a specific agency requested recycled percentage, GPO will make every effort to meet the suggested percentage of recycled fiber listed in the EPA guideline, which is usually 50%. However, requests that exceed the 50% recycled content recommended in EPA's voluntary guidelines, will be harder to meet, owing to limited availability. The lesser availability may well mean higher costs and longer contracting schedules.

Question. What progress is being made in obtaining high speed copier paper with recycled content?

Response. EPA excluded this category of paper from their recycled paper guidelines because there was no evidence that any manufacturer was prepared to provide such a product that would meet performance standards. Since that time, there has been considerable private sector and paper industry interest in developing such a grade of paper. As a result, paper manufacturers are developing and testing such products, but as yet none have emerged as a widely available commodity at a reasonable price

Question. It has come to my attention that the State of Illinois' Department of Energy and Natural Resources has conducted a study on the usability of 100 percent recycled continuous stock form computer paper made from recycled newspapers. The State now has an open ended procurement contract for this product. I have submitted a copy of the Department's test program results for your information.

Response. Joint Committee on Printing staff will review the results of the State of Illinois study you furnished. The Committee is most interested in including other grades and types of papers in the recycled paper and printing procurement programs when both supply and price factors are favorable.

Question. Would the JCP consider increasing the number of colors approved for both cover stock and content pages. It is my understanding that the colors currently stipulated are not all readily available with recycled content.

Response. Standard cover stock colors are readily available with recycled content in this area. Use of other colors of cover stock is allowed, particularly in the field, when standard colors are not available. Historically, it has been found that the wide use of colored text stocks unnecessarily add to the cost of Government printing. All uncoated grades of text stock that meet Government Paper Specification Standards are readily available with 50 percent fiber content as evidence by the 89 percent coverage GPO has achieved in its quarterly paper purchases since implementing the EPA guidelines. If an agency has a unique requirement for which colored text stock is appropriate, then GPO will make every effort to obtain the job with that color of text stock that includes 50 percent recycled fiber.

Question. Are you aware of any other unintentional barriers to increased utilization of recycled paper in procurement and distribution practices?

Response. The Committee is not aware of any unintentional barriers to increased utilization of recycled papers. This effort has been in effect for less than a year and is still growing and developing. There has been a great deal of paper industry interest in the effort to make recycled papers more widely available, and the successes that GPO has achieved to date are commendable. The Committee is open to any and all suggestions to improve this program.

Question. At your convenience would you please furnish the Committee with a simple diagram (one page) illustrating the flow of responsibility with regard to procurement of newly available products made with recycled fibers. For instance whose guidelines and from what office do the various Federal Agencies purchase their paper

Response. The Joint Committee on Printing is responsible for establishing paper specification standards for all Government printing and binding papers under section 509 of Title 44, United States Code. EPA has issued voluntary guidelines for recycled fiber contents in all papers used directly and indirectly, using appropriated funds (including certain state and local Government acquisitions) under section 6002(e) of the Resource Conservation and Recovery Act of 1976 (RCRA). The Joint Committee has directed that paper and printing procurement made by GPO, with very few exceptions, utilize the EPA guidelines.

As the demand for paper with recycled content has come largely from Federal and state requirements, new paper products containing recycled materials are generally tailored to meet such requirements, including the Joint Committee's Government Paper Specification Standards.

The Government Printing Office buys paper and envelopes for departments and agencies in the Washington, D.C., area. The GPO also, of course, indirectly buys paper nationwide in the course of procuring printed products for departments and agencies. The General Services Administration also buys paper for agencies outside of Washington, D.C., presumably through GSA's own procurement directives and requirements. The Joint Committee is aware that some agencies make purchases of paper on their own, without regard to either GPO or GSA. When such instances are noted efforts are made to redirect them back to established channels.

WEDNESDAY, JANUARY 31, 1990.

U.S. GENERAL ACCOUNTING OFFICE

WITNESSES

CHARLES A. BOWSHER, COMPTROLLER GENERAL OF THE UNITED STATES

MILTON J. SOCOLAR, SPECIAL ASSISTANT TO THE COMPTROLLER GENERAL

IRA GOLDSTEIN, ASSISTANT COMPTROLLER GENERAL FOR OPERATIONS

JOAN M. McCABE, DEPUTY ASSISTANT COMPTROLLER GENERAL FOR HUMAN RESOURCES

M. THOMAS HAGENSTAD, DIRECTOR, OFFICE OF CONGRESSIONAL LIAISON

RICHARD L. BROWN, CONTROLLER

JOANN L. CLASSEN, BUDGET OFFICER

OPENING REMARKS

Mr. FAZIO. We will now take up the budget for the General Accounting Office. The budget request is $433,163,000 and 5,200 staff years, which is an increase of 100 positions and $69.5 million over the current level.

The request includes a transfer of $5,915,000 from a special fund established by P.L. 100-545, relating to maintenance of the GAO building.

The requested increase would be 19.1 percent over fiscal year 1990 and over 24 percent since fiscal year 1989. We have present our good friend the Comptroller General, Mr. Charles Bowsher and a number of members of his staff.

Mr. Bowsher, we welcome you. Before you proceed with your statement, which we will include in the record as well, I would appreciate it if you would introduce or reintroduce, as the case may be, your staff.

Mr. BOWSHER. On my right is Milt Socolar.

Mr. FAZIO. Milt, how many years have you been with GAO, not that you look any different than you did 10 years ago?

Mr. SOCOLAR. Twenty-four.

Mr. FAZIO. You are donating back to the government?

Mr. SOCOLAR. Correct.

Mr. FAZIO. We appreciate your willingness to ignore the retirement system and stay with us.

Mr. BOWSHER. I want to say I really appreciate it. Milt has been a great hand all through my tenure here.

On my left is Ira Goldstein, the Assistant Comptroller General for Operations. I have Joan McCabe here, who is our Deputy Assistant Comptroller General for Human Resources, which is very important as we have implemented pay for performance and taken some other initiatives. And Dick Brown, who is our Controller and Chief Budget Officer, you might say.

Mr. **Fazio**. Yes, of course. Welcome. You have a few others.

Mr. **Bowsher**. My congressional liaison, Tom Hagenstad and JoAnn Classen, Budget Officer, who does all the work.

Mr. **Fazio**. That is why I wanted you to introduce everyone. We know of their efforts and want to recognize them.

Go right ahead with your summary and I will place your statement in the record.

[The statement of Mr. Bowsher follows:]

United States General Accounting Office

GAO

Testimony

For Release on
Delivery
Wednesday,
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Fiscal Year 1991 Budget Estimates for the General Accounting Office

Statement of
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Before the
Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

Mr. Chairman and Members of the Subcommittee:

I am pleased to be here today to discuss our fiscal year 1991 funding requirements.

I want to begin by thanking you Mr. Chairman and this subcommittee for your support over the years. Without it we would not have been able to achieve many of the accomplishments that I will outline for you in a moment. I'm proud of our accomplishments. I am also proud of the progress we have made as an organization in developing and rewarding our people, and in providing them with first rate equipment and work environment. These are all vital in achieving peak performance, and continued progress is a high priority of mine.

GAO faces many challenges ahead in the work we do for the Congress, not the least of which is the quickly changing world political situation, and the resulting decisions that will have to be made by the Congress and others. Not only with respect to our defense posture, but also with respect to trade, international competitiveness, and a wide range of other domestic and international issues.

I want GAO to be there with the facts and analyses, when Congress needs them, and with your continued support, I'm confident we can do just that.

For fiscal year 1991 we need an increase in resources to continue to meet the congressional demand for GAO work. Over the last several years we have experienced a dramatic increase in this work load. In fiscal year 1989, we received a record number of requests from the Congress including a significant number of statutory requirements. Nearly every piece of major legislation, like the savings and loan bailout bill, directs GAO to perform oversight reviews and report our findings and recommendations to the Congress by established dates or over a defined period of time.

We have managed to handle this increasing work load without any increase in our staffing by redirecting resources from work done to satisfy basic legislative requirements and by implementing a number of initiatives aimed at achieving efficiencies through streamlining work processes and procedures. However, we have reached a point, complicated by the no growth Gramm-Rudman-Hollings environment, where we are stretched to the limits of our current resources. I am concerned that an increasing number of congressional committees and members may find our capacity to support their needs disappointing.

In some ways we are a victim of our own success. Our work has focused on significant national issues that face the Congress, and continues to be more responsive to congressional needs than ever before. This has led to a steady increase in the number of assignments we perform for congressional requestors. Without additional resources, we may need to distinguish more than we do now between congressional requests we can honor and those we cannot. In consultation with appropriate congressional committees, we may need to develop some criteria and priorities to accomplish this, if necessary. I will also discuss later in my testimony some productivity enhancements we have been working on to help in this area.

Fiscal Year 1989 Accomplishments

Fiscal year 1989 was indeed a very productive year for GAO. Early in the year we issued 26 Transition reports for the Congress and the incoming administration. In a series of meetings with Committee Chairmen and staff and Cabinet members, we found substantial agreement that the issues we raised in these reports were of great urgency for the nation.

Including the transition reports, in 1989 we issued 881 audit/evaluation reports (mostly to congressional requestors), testified 217 times before congressional committees, and issued more that 3,800 legal decisions and opinions. I would like to add that no one else testifies before congressional committees more often than GAO except the Department of Defense. Also, we had 63 different individuals representing GAO as the primary witness during those testimonies. I think this demonstrates the depth of talent we have at GAO, and the extent of confidence the various congressional committees have in GAO witnesses.

The percentage of our work done as congressional requests remains high at over 80 percent, essentially unchanged from the past 2 years. The number of congressional assignments started, however, reached a new high in 1989 of 1,317--up 5 percent from 1988 and 10 percent from 1987. At any point in time, we are usually handling requests from over 200 committees and subcommittees as well as from over 450 members. I think these are telling measures of how useful Congress finds our work.

As a result of our work we contributed to legislative and executive actions that resulted in about $8 billion in measurable financial benefits. I would like to see this figure higher, and I have made monetary savings a priority for fiscal year 1990.

In addition to recommendations that result in measurable financial benefits, we also catalogue nonmonetary accomplishments. The results of some of GAO's work produce many improvements in government operations and services that are difficult to quantify, but could yield large payoffs. Last year we had almost 150 documented instances of nonmonetary accomplishments in service to the public, which was 57 percent higher than in 1988, and 76 percent higher than in 1987. An example of a nonmonetary accomplishment is in the safety area. Despite the threat of losing highway funds, one-fifth of the states had refused to increase their minimum drinking age to 21. After GAO's work validated the life-saving effects from increasing the minimum drinking age, all remaining states and the District of Columbia raised their minimum drinking age. GAO's report was directly cited as a major reason for these actions. The Department of Transportation estimates that this change saved about 1,000 lives in one year alone.

Highlights of FY 1989 Work

During fiscal year 1989 GAO made contributions that cut across all areas of national importance. The series of 26 Transition reports that we prepared in November 1988 were designed to help policymakers focus on the major policy, management, and program issues now facing the government. I would like to highlight some of these critical issues.

Federal Budgeting and Management

The deficit crisis forces federal managers to emphasize short-term reductions at the expense of the long-range economic well-being of the nation. In economic terms, the deficit is destroying our ability to promote the savings that are necessary for future growth and prosperity. We now have a debt burden of about $3 trillion, and it is growing by about a quarter of a trillion dollars a year.

A related issue, and one we have reported on often, is the way social security and other trust fund surpluses, along with budgetary and accounting gimmicks, mask the real size of the deficit each year. The fact is that the deficit excluding trust funds is larger today than it was when the Gramm-Rudman-Hollings deficit reduction process was begun in 1986. The cost of the deficit in terms of interest charges and the resulting lost opportunities to do other things with that money is enormous. Last year, we once again recommended against the use of trickery in budget making and set forth an extensive proposal for restructuring the unified budget. We also reiterated the need for a comprehensive strategy to deal with the deficit.

The United States government does not currently have the internal control systems to effectively operate its programs and safeguard its assets. We issued our fourth major report in November 1989 on agencies' implementation of the Federal Managers' Financial Integrity Act. This act was passed in 1982 with the goal of improving government internal controls and accountability. Seven years later, this goal is largely unmet. For an example of this lack of progress, one only has to look at the HUD scandal that came to light this past year. Other examples of the results of poor internal controls include over $89 billion in uncollected debts or taxes owed to the federal government and over $29 billion in unneeded spare parts in Department of Defense inventories.

In our latest report, we made or reiterated to the Congress a number of recommendations aimed at improving the reporting of accountability and internal control weaknesses and at ensuring that corrective action is taken. We also urged the Congress to hold annual hearings on the actions of each of the 18 major federal agencies with respect to improving internal controls. In addition, we reiterated the need for legislation to establish a Chief Financial Officer of the United States, whose responsibilities would include development of a long-range financial management improvement plan for the government, and the need for annual preparation and audit of agency financial statements.

Financial Institutions

In numerous testimonies, letters, and reports GAO urged that decisive action be taken to address the failing savings and loan industry. GAO played a major role in developing solutions to the thrift industry crisis, which were incorporated into the Financial Institutions Reform, Recovery, and Enforcement Act of 1989. The cost of the legislation will exceed $250 billion, of which an estimated $139 billion will be taxpayer funds (about $2,100 for every family in the United States). Savings and loans with more than $260 billion in assets will have to be dealt with. Questions remain with respect to whether regulators and the industry can rise to the occasion. GAO will continue to evaluate the industry and its regulation in the months and years ahead.

Also of concern is the government's exposure to similar risks under other programs such as direct federal loans amounting to $222 billion, federally-guaranteed loans amounting to $550 billion, and other such federal programs, with an overall total exposure of $5 trillion. While not all of this exposure or risk will result in losses, GAO anticipates additional tens of billions of dollars in future losses in these other federal programs. In a November 1989 report we addressed needed actions in these programs including improved accounting and financial reporting, and audits of financial statements for each of them.

Our work in the securities markets influenced the Congress and the Securities and Exchange Commission to develop stronger efforts against insider trading. A GAO review covering automation of the Chicago futures exchanges may result in these exchanges developing an electronic audit trail system to focus on preventing and detecting trading abuses.

GAO's work has also influenced federal regulators to improve their operations. For example, as a result of GAO's work on check cashing, the Department of the Treasury is working with 3 groups on alternative ways to deliver government benefits. Treasury will test implementation of Electronic Benefits Services in 1990. When this project is completed in 1995, Treasury estimates it will save about $26 million annually.

Defense

The national security environment is changing faster today than at any time since World War II. The implications of recent developments in Eastern Europe and the Soviet Union have yet to be fully absorbed. In this environment, Congress will be turning to GAO for answers to difficult questions.

Among other areas, GAO reported last year on the scope and expense of the American military presence in Europe; the expansion and training of reserve forces; the planned closure of military bases; the cost and status of major acquisition programs, such as the Navy's shipbuilding program and the B-2 Stealth bomber; and the operational and maintenance costs of new, high-tech weaponry, such as the B-1 bomber and the M-1 tank. For example, GAO's report on the Air Force's $31 billion B-1 bomber program stated that potential enhancements to the aircraft could cost an additional $7.4 billion.

Our work in manpower affordability identified a potential DOD budget savings of approximately $250 million through reduced civilian work year ceilings at overseas locations. GAO's review of DOD's Five-Year Defense Program led to changes in DOD's calculation of growth rates and inflation estimates, and the removal of excess programmed funds. These changes could yield over $147 billion in reductions in the program through fiscal year 1994 and billions of dollars in future DOD budgets.

Health Care

Health care consumes 11.2 percent of our gross national product compared with 8.6 percent in Canada and France, and 6.1 percent in the United Kingdom. By 1995 this figure is expected to reach 13.4 percent of GNP. Not only have past cost control measures failed, some have made access to adequate health care more difficult. An estimated 31 million Americans lack health insurance, additional millions are underinsured, and many do not have adequate access to care. The fact that the United States has a higher infant mortality rate than 19 other developed nations, is a reflection of the problem.

Against this backdrop GAO issued a number of products last year which address health care cost control and access. For example, GAO testified on cutbacks in employer retiree health coverage, reported on financial admission criteria used by some hospitals for organ transplant operations, testified on the difficulty families of children with chronic illnesses often have in obtaining vital support services, reported on gaps in coverage in many long-term care insurance policies, and reported on the problems AIDS patients have in obtaining needed services due to shortages in care facilities or lack of insurance.

GAO identified several Medicare/Medicaid program areas in which congressional action could lead to financial benefits, such as: savings of $1.2 billion over 3 years by reducing medical education payments to teaching hospitals, potential financial benefits of $500 million annually from programs to recover the cost of Medicaid assistance, and potential financial benefits of $100 million annually from recovering savings bond assets owned by Medicaid recipients in nursing homes.

In addition, The National Cancer Institute held a 2-day session in November 1989 with more than 30 experts from around the country providing advice on how cancer treatment studies should be structured. Throughout this meeting, credit was given to a GAO report entitled Breast Cancer: Patient Survival as the major impetus for the meeting and studies that will emanate from it.

Information Resource Management

The history of information technology management in the federal government is wrought with glaring examples of failure. Automated systems are often developed late, fail to work as planned, and cost millions--even hundreds of millions--more than expected. GAO's testimony and reports on the pattern of cost overruns and schedule delays of eight DOD automated information systems resulted in increased oversight of procurement by DOD and the Congress. Also, as a result of GAO testimonies and reports on the organization of the Internal Revenue Service, IRS established a Chief Information Officer reporting to the Senior Deputy Commissioner and having responsibility for information resources and technology management. In addition, our work on Federal Aviation Administration's (FAA) acquisition of the Advanced Automation System resulted in budget reductions and system acquisition cost reductions totalling $656.3 million.

The Social Security Administration, FAA, IRS, and DOD each have examples where vast sums have or are being spent on systems that fail to perform properly. As a result, taxpayers are not receiving the benefits promised by system developers, and federal managers are not getting the programmatic and financial information they need to make sound decisions.

Recognizing the scope of the problem GAO held a symposium this past year called "Meeting the Government's Technology Challenge" which brought leaders from industry, the executive branch, and the Congress together for the first time to explore ways to reverse this tradition of failure. The symposium resulted in recommendations for successfully implementing new information technology that will soon be published as a GAO special report.

Nuclear Waste

The federal government has failed to properly manage radioactive waste. Today, we are faced with radioactive waste and other contamination that, according to GAO's estimate, may cost as much as $65 billion to clean up, and we may never know the total cost in health and environmental damage. To modernize the facilities and bring them into compliance with environmental laws may cost an additional $45 billion. Finally, to dispose of radioactive waste and decontaminate nuclear facilities another $45 billion may be required.

This is a long-standing problem. In over 60 reports and testimonies during the past 10 years, GAO has focused attention on the Department of Energy's management of the nation's nuclear weapons facilities. GAO pointed out as recently as November 1989 that Energy still does not know the extent of contamination at many of its facilities and, in fact, is not certain that it has identified all contaminated sites. A related issue which GAO testified on last year is the strong opposition to locating facilities for the permanent disposal of radioactive wastes and the environmental safety of such facilities. Although DOE issued its first 5-year plan to correct the nuclear weapon/waste crisis in August 1989, any permanent solution to this complex problem is years away.

GAO believes that proper oversight is a key element to ensuring that DOE stays fully committed to the successful implementation of this plan. Our current and anticipated congressional request work load should continue GAO's role as a major participant in such oversight.

Drugs

According to public opinion polls, drug abuse ranks as the most serious problem facing the United States today. In 1988 the federal government devoted $1 billion to demand reduction and more than three times that amount, $3 billion, to supply reduction. The fact remains, however, that the war on drugs is not being won. Only a fraction of the drugs smuggled into the country are intercepted.

Addressing the nation's drug problem is a costly, long-term commitment. Therefore, it is imperative that the President and the Congress fund and emphasize antidrug programs that are effective. Unfortunately, we are hampered by the absence of good information. Better information on program success and measures of program effectiveness are needed if we are to understand what works best and direct our resources accordingly. For example, we need better information about drug treatment programs--their methods, success rate, and clientele.

GAO has been very involved in the debate over antidrug policies. The appointment of the first Director of the Office of National Drug Control Policy represents the implementation of a proposal first made by GAO in 1979. In addition, GAO's past and present work on drug interdiction--one of the largest components of the federal antidrug effort--was reflected in the President's National Drug Control Strategy. The strategy, first issued in September 1989, recommended holding the line on drug interdiction spending, a position GAO proposed for consideration by the Congress in a June 1989 report, in which GAO raised concerns about future funding on air interdiction programs.

On January 25, 1990, the President issued the second National Drug Control Strategy. While this strategy proposed increased funding for all aspects of the war on drugs including interdiction, these additional funds will be used to complete and integrate existing interdiction systems. The strategy continued to recommend that no new systems be initiated and did not increase spending on interdiction disproportionately to other elements of the strategy.

At present, GAO's work includes evaluations of both the immediate impacts of the drug crisis, and of longer-term programs with the potential to alleviate the problem over time. This work is focusing on both the supply and demand side of the drug problem. One goal of GAO's future work will be to evaluate the effectiveness of the Office of National Drug Control Policy in planning, implementing, and coordinating the Strategy's components. GAO plans to continue to assist the Congress as it seeks to make the difficult spending decisions and will continue investigating possible options which may lead to progress in solving this very serious problem facing our nation.

These are examples of GAO's work in fiscal year 1989. If time permitted, I would share many more issues with you.

Impact of Fiscal Year 1990 Sequester

I want to reemphasize that GAO could not have been able to conduct much of this work without the support of this subcommittee. Even with that support, however, we are finding that a budgetary increase can be eroded very quickly. For fiscal year 1990, the current budget year, we received an approximate $17.4 million increase. Out of that increase we have had to take about $5 million as our share of this year's Gramm-Rudman-Hollings sequester. We have also had to take an additional $1.6 million cut as our share of the war on drugs. Lastly, we have had to absorb about $7.2 million for the January 1990 federal pay raise. Together these cuts reduce the $17.4 million increase by $13.8 million, leaving an effective $3.6 million increase to cover mandatory payroll costs, inflation, increased mission work, and necessary facility renovation efforts. Obviously, we will not be able to accomplish what we had planned to accomplish. We plan to take the major impact of the reductions by extending the schedule on planned facility renovation efforts and by making some reductions in other areas.

Operational Efficiencies

Following the comittee's direction in last year's bill report, GAO is evaluating the impact of ADP technology using specific performance criteria for incorporating microcomputers, local area networks, and mainframe processing into our operations to improve efficiency. This is in concert with our rolling 5-year information resources management planning process. Full integration of the current plan will dramatically alter every phase of our work flow and will yield improvements in the overall efficiency, quality, productivity, and timeliness of our work.

Use of modern technology by GAO continues to be one of my highest priorities. Reflecting the priority I have assigned to this area, we remain on target with our goal of procuring 4,300 microcomputers by 1991. We also have a pilot project evaluating network or shared resource technology which involves two major divisions and one region. In 1991 this project will include an evaluation of printing and production technology. I have recently appointed Kevin Boland, one of my key senior executives from our line divisions, to head up the effort to improve end user support and information resource management. In the administrative area, we are continuing to integrate our systems at the National Finance Center (NFC). To date we have converted to the NFC our payroll, personnel, and supply systems. This year the property system will be converted, and next year time and attendence will be converted.

The committee also asked us to conduct tests to determine how contractors can help produce efficiencies and also can help in supporting our audit and evaluation work. We now have contractors involved in selected data collection and data analysis tasks that previously would have been conducted by GAO employees in the development of selected GAO work products, but which do not involve any inherent governmental functions or judgements. We plan to evaluate the results by comparing the quality, cost, and timeliness of reports that include contractor products versus our other products. Right now we have about 50 different tasks scheduled for contracting, and later in 1990 we will be reporting on how they turned out and our recommendations for how to proceed in this area.

In recognition of the central role of each employee in achieving operational efficiencies, we have an active program designed to elicit, study, and implement ideas from staff throughout the organization to improve the efficiency and effectiveness of GAO's work. This Operations Improvement Program (OIP) provides for the recognition and reward of individuals who submit beneficial suggestions that result in further operational efficiencies. Examples of projects tested in 1989 that show significant potential include: use of computerized workpapers, enhancing the use of graphics in GAO products to improve message delivery, freeing staff from routine questionnaire survey tasks through the use of contract services, and savings in mailing costs through the use of bulk mailing. In 1990, all divisions and offices are developing OIP plans for experimenting with ways to improve product development and processing. Our belief is that through concerted GAO-wide attention we can realize some notable changes in an area that concerns all of us.

In order to achieve peak performance from our human resources, we have embarked on a concerted effort to make sure we manage our people well. This is particularly important since 76 percent of our financial resources support our people. Our human resource goals were the focus of this year's GAO management conference. We want to hire the best staff, train them well, give them challenging work, provide first rate equipment and work environments, reward those who excel, and treat everyone fairly. We have already made substantial progress in each of these areas. For example:

-- Our Campus Executive Program and other recruiting efforts are producing top notch applicants and new hires.

-- Our Training Institute is becoming a model for the rest of the federal government.

-- The work we are doing, as I discussed earlier when I summarized our accomplishments, is I think some of the most challenging work the federal government has to offer.

-- I also discussed earlier our efforts to provide needed ADP equipment, an important resource. Ownership of the GAO building now gives us direct control of our work environment and, as you know, we have begun a major renovation program to remove asbestos from the building. Our GAO fitness center just opened and our child care facility is scheduled to open this summer.

-- Rewarding those who excel has become a reality this past year with implementation of a performance system for evaluator and evaluator-related positions. Pay for performance bonuses last year ranged from $700 to $4,000. With this change, we can now tie performance to rewards in a very meaningful way.

-- Part of treating people fairly means recognizing the opportunities that a diverse work force presents, and how best to manage such a work force. We are making "managing people" an important skill for our managers to master.

It is important to note that we have been active in seeking and implementing ways to meet our human resources needs to make our operations more efficient and to enable GAO to work more effectively, so as to maximize the return on the resources we receive from the Congress. Recently, we decided to close a number of our regional suboffices. These closings will result in greater flexibility in staffing jobs, in enhanced training and career paths for staff that will be in larger offices, and in better job supervision. Our policy is to make available every consideration legally possible for employees affected by these decisions, including transfer at government expense, early retirement for those who are eligible and so desire, and assisting in locating alternative employment for the people who choose not to transfer to another geographic location.

Fiscal Year 1991 Request

As you can see, we have accomplished a great deal since our last hearing. We are anxious to maintain the momentum and continue to provide high quality services to the Congress. To permit us to do this we are requesting $427,248,000 to fund 5,200 average positions in 1991, and authority to use $5.9 million in funds paid to GAO by Labor's Bureau of Labor Statistics and Treasury's Financial Management Service for their share of costs as tenants in the GAO building.

This represents a $69,151,000 increase over the fiscal year 1990 appropriation for salaries and expenses, less the sequestration, and a $351,000 increase in funding from the special account. Over half the increase from fiscal year 1990 ($35.0 million) will go to mandatory pay increases and related costs, and to inflation in costs for existing levels of service. We need this amount just to maintain our existing level of capability.

Another $28.5 million is needed to provide the staff, services and equipment such as consultant and expert services, travel, and microcomputers needed to maintain our ability to respond to the increasing congressional work load with quality work in a timely manner. Also included in this figure is funding to maintain our program of asbestos removal and renovation of GAO's facilities to handle those technological advancements that will further enhance our effectiveness and efficiency.

The remaining $6 million is needed to fund the costs associated with 100 additional average positions. The additional positions will bring the total GAO staffing closer to a level at which we can provide the kind of coverage of government programs needed by the Congress.

Of the 100 average positions, 35 will help us identify and report mismanagement, fraud, and abuse in federal programs such as those uncovered at HUD. Another 35 will help us examine the effect on U.S. interests stemming from the profound, recent changes in the worldwide political, military, and economic structure. The remaining 30 will be split between coverage of domestic banking and securities issues, and health and safety issues such as nuclear waste disposal, health care costs, and the nation's air traffic control system. It should be noted that we have not had any meaningful increase in staff resources since 1985, yet our workload has increased substantially.

I would like to expand somewhat on our plans in the mismanagement, fraud, and abuse area. We have identified 14 areas to date that we think have very high potential for this kind of activity. Examples include excess inventory managed by the Department of Defense, management of Superfund contractors by EPA, Medicare fraud and abuse, the Student Loan Insurance Fund, the Pension Benefit Guaranty Corporation's management of Title IV of the Employee Retirement Income Security Act, disposal of failed Savings and Loans and their assets by the Resolution Trust Corporation, and uncollected receivables of IRS. Our plan is to focus, in conjunction with agency managers and inspectors general, on the root causes of longstanding weaknesses, develop approaches to solving them, monitor agency corrective actions, and recommend any legislative action necessary to ensure that corrective actions are taken.

Other priorities for which funding increases are needed include travel, training, ADP equipment, facility renovation, consultants and contractors, and a new digital telephone system.

In the travel area we need to restore funds for our managers to properly supervise work that is being done in the field. In fiscal year 1990 the price level increase in authorized travel funds that the Committee provided has been substantially lost due to the sequestration. As a result, we are losing some of our ability to give jobs closer field supervision by our managers and recognize that some productivity may be sacrificed.

We have also been enhancing training in technical areas, such as in the information resource management area and for our executive education program, to improve our ability to conduct complex analyses. Increases in this area total $417,000 above the 1990 level of $2.7 million.

In the ADP area we are requesting a total increase of $7 million above the 1990 level of $18 million. GAO is at a point where significant increases in funding for ADP are necessary if we are to continue to support the technology that has already been introduced into the agency and if we are to continue to introduce other efficiency-enhancing technology. The bulk of the increase will go to supporting the three levels of processing involved in mission work which I discussed earlier: microcomputers, shared resource architecture, and mainframe computing. This capability will permit us to do things we have not been able to do in the past.

For building renovation we are requesting an increase of about $10 million above the 1990 level of $15.5 million. The increase will permit us to continue to remove asbestos from our headquarters building and to make other modifications. As regions and audit sites are required to move, these offices are being upgraded as well.

As I discussed earlier, in response to a request from this committee, we are now conducting tests where we contract for selected kinds of tasks in support of our audit and evaluation work. We anticipate such contracts will enhance our efficiency and complement our ongoing emphasis on using consultants and other experts in audit and evaluation work that is highly technical. We are requesting an increase of $1.5 million to permit greater usage of consultants and contractors in support of our work.

Our planning for the 1992 tri-annual conference of the International Organization of Supreme Audit Institutions (INTOSAI) continues, and we are at a point where we need a contract to help us prepare for hosting this tri-annual meeting. Our current estimate is that this conference will cost in the range of $3.7 million due in part to the need to provide five-language translations for the delegates and other unique logistical requirements of an international conference including security services. Fiscal year 1991 costs for INTOSAI will be about $400,000, and much of this will support a governing board meeting hosted by GAO in October 1991. This will be the first time GAO will host this international conference since INTOSAI was organized in 1953. Most other major countries have hosted this conference.

At the committee's direction, during the past year, GAO has continued its joint efforts with the Architect of the Capitol and heads of legislative agencies to identify and meet common telecommunications needs. Current plans call for the acquisition of more cost effective long distance voice communications. In this regard, we are scheduled to start conversion to a commercial long distance carrier in February 1990. We are also coordinating with the Architect of the Capitol on the acquisition of a local digital telephone system for the Washington, D.C. area. We have submitted a detailed statement of our technical requirements to the Architect of the Capitol for his review and approval. Funding for this project in fiscal year 1991 will require an estimated increase of $5.3 million to acquire the new digital telephone system. Although this is a significant one-time cost, we foresee substantial improvement in cost management as well as significant improvements in our ability to do our work for the Congress.

Conclusion

I want GAO to continue to address the tough issues facing our country and the Congress with quality products, delivered in a timely fashion. Our record of accomplishments, I believe, speaks to the return on investment, both monetary and nonmonetary, that we are capable of delivering. Such a return requires continued investment however. Our most important asset is our people and that is where continued investment is paramount.

The support provided to GAO by this subcommittee in the past has been excellent, and it has allowed us to make significant progress. I hope we can continue to have your support in the future.

This ends my formal statement, Mr. Chairman. I am pleased to have this opportunity to respond to your questions.

MEASURABLE BENEFITS

Mr. **Bowsher**. I want to start off, as I do most years, and thank the committee for the support you have given us in the past few years. GAO has had another record year as far as production of important reports, and our savings were almost $8 billion, not as much as in previous years, but we are going to work on that, I can assure you, in the coming years. It still is far more than what our budget costs the American taxpayers.

It was kind of interesting. I added it up last night because I got a new report from one of my people. We have saved over $94 billion in the eight years that I have headed up GAO.

Mr. **Fazio**. That is a fairly good return on the investment.

Mr. **Bowsher**. Some of these are very significant issues. I am very proud of that, and I think GAO has made a real contribution to the government.

Also, we have an awful lot of reports where we have nonmonetary accomplishments. This past year the Department of Transportation noted our report on the minimum legal drinking age. This is an issue that the states debated a great deal.

A few went to age 21. After the GAO report came out, every state passed legislation to raise the drinking age to 21.

The Department of Transportation estimated this saved about 1,000 lives in the first year. So, I think that sometimes GAO weighing in on issues like that can be very helpful to get the right kind of legislation or the right kind of action taking place.

BUDGET DEFICIT ISSUES

Last year got off to a very fast start when we issued those transition reports. Today, as you can see in the debate on the budget, more and more people are recognizing what we reported last year about masking the budget, the size of the deficit and the problems that you are facing that are not recorded. In other words, I think we highlighted last year the S&L crisis, the nuclear weapons plants and several other issues.

I am pleased that this year's budget message did some of the same in trying to highlight some of the problems that we face, even though we have not booked the financial implications of those because of the government's cash-based accounting.

Mr. **Fazio**. I regret your work wasn't available a year earlier. Your work on the trust fund masking has borne fruit in the current debates. You were the first to talk about that concept.

In addition, the work you have done on nuclear waste and on the S&L and other off-budget problems has led Mr. Darman and the Administration to emphasize that much more clearly in the budget submission this week. You are clearly ahead of the times.

Mr. **Bowsher**. Well, we appreciate that. I think we were really influential with some of this work we did in the last two or three years.

Last year we issued a new booklet on budget procedures, from which many people are picking up ideas for different legislative proposals that they are introducing to reform the budget process.

The key part, I think, is just how big is the budget deficit? We have come up with a six-part budget arrangement where we don't say anything should be taken off. We say everything should be on-budget, but that what you should have is three columns—the general government operations, the trust funds, and the enterprises, like the Post Office and the Tennessee Valley authority.

I think that gives a pretty clear indication of where your income is coming from, where your expenditures are, and where the real deficit problems are.

Again, Mr. Darman did include that in the budget presentation. It is about a third of the way back, so you have to look to find it, but it is in there, and that is a step forward, as far as I am concerned.

DEBT INTEREST COST

Another thing I think is important, as this debate moves forward, is the interest cost. To me, it is very worrisome how large it is getting. I don't think most people realize how it is building up.

Again, it is hard to find in the budget document. But, the Treasury's report at the end of the fiscal year outlines how we have this $80 billion increase in expenditures, and it outlines five areas that make it up, basically.

The biggest area was the increase in interest. If you count the interest, both what you have to pay in cash for bond holders who are out there, whether it be a Japanese person or an insurance company in this country, and that runs about $180 billion. But, you then have another $60 billion, up to $240 billion of which we have to book, you might say, to the trust funds and to government institutions. The $240 billion really now is the second largest item in the budget. That item increased by $27 billion last year.

If you think that defense is going to stay relatively level or even come down a bit, but (just for talking purposes, let us say level at $290 to $300 billion), then you can see that if interest increases at $25 or $27 billion a year, it will be only three or four years before debt interest is going to be the largest single item in the budget, which is a tremendous change in the financial picture.

Mr. **Fazio**. Over the last 10 years?

Mr. **Bowsher**. Basically, over the last 10 to 15 years. If you look in the middle 1970s, it was about $30 billion. We will be up close to $300 billion, I would say, by 1993.

Mr. **Fazio**. I have heard the cost of maintaining NATO is about $150 billion. I think domestic appropriated funds at this point are $160 to $170 billion. The funds spent on education, on transportation, the legislative branch, et cetera, will soon, if not immediately be dwarfed by interest on the debt.

Mr. **Bowsher**. Yes.

Mr. **Fazio**. Mrs. Boggs.

Mrs. **Boggs**. The first year that we had really drastic budgetary constraints, everything that we saved in the domestic programs was matched by the amount of the interest payments.

Mr. **Fazio**. Yes. It is terribly hard to make progress when we are paying higher and higher amounts of interest to attract more capital from overseas. Their interest rates rise and make our current interest rates look uncompetitive.

It is nice to know that they think of us as a secure place to invest, but we do have to be competitive. This has been the story for the last couple of weeks. I know John Porter follows the financial markets. Look at what the Japanese are doing to attract their capital home. We are in a tight position.

Anyway, please proceed Mr. Bowsher.

OVERSEAS MILITARY STRENGTH

Mr. **Bowsher**. I think we have done a body of work and are in the process of doing a body of work that is going to help the Congress and the decision-makers in these next few years, which I think are going to be very, very important years as far as decision-making on government programs.

If you look at the Defense area, the work that we have done on the forces overseas, we issued a report recently that points out that in addition to 325,000 military people we have in Europe, we really have 800,000 people in total when you count all the dependents and civilians.

And the ninth largest school system in the United States is the DOD school system; the twelfth largest school system in the U.S. is DOD's system in Europe. So, it pinpoints some of the areas of opportunity as some of these negotiations go forward with the Soviet Union and other countries as to what will be our military presence in the future.

I want to do that type of work so we have a good base line as to where everybody is and what are some of the opportunities for savings and closing bases overseas.

I was just in England in December. One thing that fascinated me was the number of air bases we still have in England. We only have four fighter wings. Two of them are F-111 wings; two are A-10 wings. The A-10 is an airplane that should be based in Germany, or it should be back home, because it is an antitank or ground support tactical airplane. The Air Force never really embraced it and I think, that is one of the reasons they put it in England.

Mr. **Fazio**. I am familiar with the A-10's. They repair them in my district. I have a feeling they will be eliminated in the conventional arms talks because the Air Force would much rather give those up and acquire more F-16s which are more flexible in the high performance area.

Mr. **Bowsher**. I think we have 8 to 9 bases in the U.K. We have over 25,000 people there. I see in the budget proposal that they are closing two or three bases.

Mr. **Fazio**. Two, I believe.

Mr. **Bowsher**. What I wonder is if we couldn't come down more drastically in some of those areas. Those are some of the issues I hope we can raise in the coming year.

I also have a body of work going on in the triad area, the strategic weapons.

MILITARY BASE CLOSURES

Mr. **Fazio**. Did you aid the Commission that recommended base closures? Was that one of your——

Mr. **Bowsher**. That was a big part of our work last year. The Congress wanted us to review that.

Mr. **Fazio**. I believe you will be asked to get involved there again.

Mr. **Bowsher**. I suspect we will. We thought the Commission did an excellent job, but some of the data they got from some of the military services wasn't as accurate as it should have been.

There might be some change in the figures that the Commission was analyzing. But, on balance, I think what was decided upon made a lot of sense.

So, I think that was a good start.

ANNUAL FINANCIAL AUDITS

Our financial audit work today is also paying off in big dividends as far as pinpointing the problems. The work we did at FHA this past year pointed out that $858 million loss that had been reported was understated by over $3 billion. It was really a $4.2 billion loss. That is the kind of pay off you get from an annual financial audit.

The Congress has passed legislation requiring improvements at FHA. Jack Kemp, who I think is doing a very fine job at HUD, is trying to get on top of these problems. The recommendations we put forward coming out of that audit were adopted by the Congress.

We are about to issue a financial review of the Air Force, the first time we have ever been able to do that on one of the three military services. I think it is going to be a very significant report because it will show some of the real problems.

Mr. **Fazio**. You have never audited one service comprehensively?

Mr. **Bowsher**. We have never done what I call a complete financial audit or financial review before. I have always felt these are important because it shows you some of the basic weaknesses in the control over inventories and assets and things like that.

We have always done program audits.

Mr. **Fazio**. Is a lot of your time spent in the logistics Command?

Mr. **Bowsher**. Air Force Logistics Command, big base operations. What we will be reporting there is a lot of problems in the way they have kept the books over the years and reported the information.

I think what you really need is annual financial audits of all the departments, which is legislation that I believe both Senator Glenn and Congressman Conyers are going to introduce with Senator Roth as good bipartisan support.

Mr. **Fazio**. Will these be done by GAO?

Mr. **Bowsher**. Only a portion will be done by GAO. I think we will do about five or six. They could contract with CPA firms for about five or six. I think the IGs could do five or six. This is very important to build the integrity back into the numbers that everybody is dealing with.

CONGRESSIONAL WORK LOAD

Last year we again did about 80 percent of our work on congressional requests, 20 percent on basic legislative requirements. We reached at a five-year high on the number of assignments we started. We testified over 200 times. We are second only to Defense each year as the far as number of testimonies we do; we are being swamped with work.

I think I mentioned this last year. We are having to delay starting some jobs which I regret. The committees that are requesting the work generally will take that in preference to our not being able to do the work.

So, we have had to delay some assignments this past year, running an average backlog of about 100 jobs. We really hope to try to convince people to channel the work into more productive areas. I know Congressman Myers has been very interested in this, and I really strongly agree with him that we must.

In other words, it is important that GAO which has stayed about the same size for the last 15 years, be working on the most important work rather than the work that some people might wish to have us do or maybe even some of our own people would like us to do.

CRITERIA FOR GAO WORK

We have tried to come up with our own criteria for setting GAO work priorities which we do not plan to apply rigidly. What I am hoping for is to maintain the dialogue we have established between the congressional committees and ourselves.

I would like to read off the criteria we would like to use for jobs we do whether we initiate them or they are requested.

One is the potential for realizing large dollar savings.

Two is the potential for uncovering serious mismanagement, fraud or abuse.

I don't know whether you it read in this morning's paper or not, but yesterday we released a letter to the House Government Operations Committees and the Senate Governmental Affairs Committee pointing out the 14 areas to which we are going to pay special attention, with respect to fraud and abuse potential.

Mr. **Fazio**. I didn't see that.

Mr. **Bowsher**. What are the future HUDs? I have a copy of that I can leave that with you, if you would like.

Mr. **Fazio**. Very good.

[The letter follows:]

GAO

United States
General Accounting Office
Washington, D.C. 20548

Comptroller General
of the United States

January 23, 1990

The Honorable John Glenn
Chairman, Committee on Governmental Affairs
United States Senate

The Honorable John Conyers, Jr.
Chairman, Committee on Government Operations
House of Representatives

This letter responds to your requests expressing your concern about the magnitude and type of problems at the Department of Housing and Urban Development (HUD) and whether those problems, with their corresponding costs to the taxpayer, could exist at other departments and agencies. I have been concerned about the possibility of other HUD-type problems for some time and, unfortunately, I am convinced that they do indeed exist. GAO has been developing a program to help deal with this matter which may address your concerns.

As you know, we completed our review of the agencies' reporting under the Financial Integrity Act (FIA) and issued our report on November 29, 1989. We concluded that since passage of the act 7 years ago, it is evident that the government continues to be plagued by serious breakdowns in its internal control and financial management systems. Unless something more is done to correct the material deficiencies in management information and accounting systems, and material weaknesses in internal controls, major losses of federal funds and the collateral fraud and abuse incidents will continue.

The basic deficiencies are known and, in many instances, have been known for many years, but they remain uncorrected. It is not enough for agencies to identify problems; they must act effectively to correct them. Currently, no mechanism exists to ensure that agencies take corrective action.

Because of my concern about the potential for other HUDs or programs with significant weaknesses, we are developing plans to undertake a special audit effort. This effort will help ensure that areas likely to result in material losses have been identified and that appropriate corrective actions are being taken to stem or minimize the losses. In our discussions with your staff and in our testimony on November 29, we indicated that we were in the process of compiling a list of areas we intend to target. We have now completed our initial list, which I have enclosed.

The administration is also aware that such problems exist in the federal government, as was stated by the Director of the Office of Management and Budget (OMB) in his testimony before the Senate Committee on Governmental Affairs. "The recently exposed HUD problems are not unique, not merely peculiar to a particular agency under what some describe as absentee management.... There are analogous problems in other agencies." In October 1989, OMB issued to each agency its critique of agency reporting under the Federal Managers' Financial Integrity Act (FMFIA), a list of areas they have considered to be "high risk," and a list of key elements necessary to achieve early identification and correction of problems.

OMB's list of "high risk areas" initially encompassed 16 agencies having 74 areas of vulnerability. OMB subsequently issued an additional list of 14 of the smaller agencies having 28 areas of vulnerability. We will, of course, be alert to vulnerable areas in all of our work. Recognizing our resource limitations, we have selected our initial list based on our knowledge of the problem areas from our previous work, and other criteria, including the magnitude of the problem, the likelihood of achieving savings, and what additional work may be required.

The active involvement of the Congress is critical to achieving corrective action. Your committees have demonstrated a strong interest in improving internal controls and financial management systems throughout the government and have exercised important leadership roles for many years. I anticipate that your interest will continue and that each of you will support our program and the steps we recommended in the FIA report.

I appreciate your interest in this subject, and I hope to meet with each of you to review our initial list of vulnerable areas and discuss our approach to this issue. I look forward to working closely with your committees and other interested committees in the Congress as we move forward in this important area.

Sincerely yours,

Charles A. Bowsher

Charles A. Bowsher
Comptroller General
of the United States

Enclosure

INITIAL AREAS SELECTED FOR SPECIAL GAO AUDIT OR REVIEW

Resolution Trust Corporation - The management and disposal of approximately $200 to $300 billion of thrift assets will pose unprecedented management problems. A sale of this magnitude is unparalleled in history. The desire and potential to acquire these assets at bargain basement prices will make this area highly susceptible to fraud, waste, and abuse.

Internal Revenue Service Receivables - The existence of accounts receivable in excess of $60 billion which have grown about 300 percent since 1980 places this issue in the significant potential loss area. In light of the budget deficit, the potential for reducing or stabilizing the growth rate offers major dollar savings and thus warrants special review and oversight.

Management of Seized and Forfeited Assets - This issue has been characterized by mismanagement which has been the subject of considerable press attention. Responsibility for managing the program rests with the Customs Service and the U.S. Marshall's Service. Both organizations have been identified by their respective departments as having significant internal control weaknesses. Improvements in the management and control of this program will lend support to the war on drugs and increase public and congressional confidence in the program.

Medicare Questionable Claims - The tens of billions of program dollars coupled with considerable potential for fraud and abuse indicates a high potential for financial savings from our efforts. Identified payments of $527 million by Medicare in 1985 that should have been paid by private insurance carriers illustrate the magnitude of potential savings.

ERISA/PBGC - The Department of Labor's and IRS's enforcement of ERISA has a significant impact on ensuring that employee benefit plans are free of mismanagement, fraud and abuse that place plan assets at risk and threaten the benefits of plan participants. The adequacy of their oversight has a direct financial effect on the potential for loss by the Pension Benefit Guaranty Corporation, an organization that has been unauditable in the past. The underfunding of approximately 20 percent of the plans insured by PBGC is estimated at $20 to $30 billion but is concentrated in particular industries where downturns could have a significant impact. The potential $2.2 billion impact on the fund of one company's bankruptcy, LTV Corporation, demonstrates the vulnerability of this program, and thus the taxpayers' exposure to potential losses.

Guaranteed Student Loans - The large number of banks, state agencies, and schools participating in guaranteed student loan programs coupled with poor systems to protect the federal government's financial interest creates the potential for significant abuses and losses. A high proportion of defaults and publicized abuse by certain proprietary schools suggest the need for improved program controls.

State Department Real Property Management Overseas - There is adequate evidence of waste, mismanagement, and poor controls in this area as illustrated by the construction fiasco at the U.S. Embassy in Moscow. There is high potential for financial savings through better property management. Corrective action over the years has been minimal, but recently State has begun to show an interest in addressing these issues.

DOD Inventory Management Systems - Department of Defense inventories exceed $100 billion of which unneeded or excess inventory exceeds $30 billion. The excess inventory along with numerous other indicators (e.g., the failure to cancel orders where excess stock is already on hand) reflect financial management problems. Management incentives focus on filling orders and obligating funds. There is no corresponding focus on reducing costs or controlling or securing stock, i.e., economy and efficiency. The current pressure to reduce the DOD budget in response to recent world events provides additional incentives to make major improvements in the supply system.

DOD Major Systems Acquisition - The total estimated cost of major systems currently being developed or produced exceeds $900 billion. Following established management controls to deliver capable and supportable weapons to the user when and where needed, and at reasonable cost, has been the exception rather than the rule. As a result, DOD continually buys higher cost systems which substantially exceed original estimates, are delivered much later than originally scheduled, and do not meet the capabilities advertised. GAO will review the effectiveness of management initiatives to address these long-term problems and their means of achieving savings.

NASA Contract Management - NASA will spend $11 billion in 1990 on contracts and has a very decentralized contract administration process. In this environment, there is considerable potential for mismanagement, fraud, and abuse. The potential for large savings exists if better contract controls and oversight can be achieved.

Farmers Home Administration Loan Programs - FmHA has made billions of dollars of credit available to the nation's farmers. Delinquent farm loan borrowers held $11.1 billion, or 48 percent, of the agency's $23.3 billion in outstanding loans as of September 30, 1989. FmHA is responsible for protecting the government's interest, as well as helping farmers who cannot get help elsewhere. Recognizing congressional concern to reduce the deficit, any potential for controlling loan losses warrants added review and oversight.

Superfund Enforcement and Contractor Oversight - The Congress has authorized $10 billion for the Superfund program but estimates of federal funds needed to complete the cleanups are many times that amount. To avoid wasting federal resources, the Environmental Protection Agency (EPA) needs to (1) ensure that parties who contaminate sites pay their fair share of the clean-up costs and (2) effectively manage clean-up contractors who get over 75 percent of Superfund's outlays. GAO will explore cost and conflict of interest control and whether EPA uses its full authority to compel private party cleanup.

Urban Mass Transportation Administration Grants - UMTA currently manages active grants totaling $30 billion with over $3 billion in new grants each year. The number of staff available to UMTA for project oversight is limited. Based on recent GAO survey work, increased oversight of the grant application review process and adherence to grant provisions is needed. The criteria for deciding what projects get funded and in what amounts is limited, and, in some cases, projects are funded at the sole discretion of the Administrator.

Department of Energy Contractor Oversight - DOE relies on contractors and consultants for most of the work needed to fulfill its mission. For example, DOE obligated about $15 billion for procurement in 1988. The Department has had a history of inadequate contractor oversight and bonus awards to contractors in situations that would appear to be highly questionable. While this may be due in part to lack of expertise or inadequate staffing, it also may be due to DOE's philosophy of "least interference" with its operating contractors. GAO will examine DOE's potential for improvements in control, accountability, and efficiency.

OTHER CRITERIA FOR WORK

Mr. **Bowsher**. This is a special effort, you might say, coming out of the HUD situation.

The third criterion would be general management reviews program, evaluations of major agency policies, procedures, and management structures.

A good example of our management work is the IRS work we did a couple of years ago. We pinpointed problems at the IRS on their systems and the people they are hiring. They are not getting the top-of-the-class quality when they hire lawyers, accountants, and systems experts. You do that for too many years, and pretty soon you start running into problems in an organization.

We are doing a similar review at the VA.

Mr. **Fazio**. I notice the Administration has said that we are going to find $2.5 billion in Internal Revenue Service's management reforms. Do you know what that refers to?

Mr. **Bowsher**. Not offhand.

Mr. **Fazio**. In your opinion, are we in particularly good shape to realize new revenue in the IRS?

Mr. **Bowsher**. I think we are in a very dangerous position in the IRS. I have said several times in testimony that we are dependent on this organization to bring in the revenue. We found really a downward trend in practically all the key areas—the number of audits they are making, how good the systems are, and the quality of people they are hiring. Of course, the complexity of this work has grown over the years because of the various tax returns that are filed.

So this is an area that—and I have said it to both administrations, the Reagan Administration and the Bush Administration—I think if there is one department where they should really be paying attention to make sure it works and has the resources to make it work it is the IRS.

These general management reviews, I believe, help pinpoint some of the departments that are probably getting themselves into some problems for various reasons.

Former Congressman Derwinski, now Secretary of VA, has asked us to do one. We are in the process of doing that. He thought it was a good idea. We are doing two or three of these each year. I think they pay a big dividend.

MANAGEMENT OF MAJOR COMPUTER SYSTEMS

Another area we believe needs to be emphasized is asset management of major computer systems acquisitions and operations. There, the federal government has spent a lot of money and have not really gotten a pay off from these big computer systems.

Last year I testified on the end result of the big systems investments at Defense in the last 10 years: $1 billion of cost and very little improvement, and some systems had to be abandoned. I think this is a real problem area for the government.

Mr. **Fazio**. I have heard you talk about the need for management systems in these agencies. I heard you discussing the Federal housing guarantee programs on McNeil-Lehrer one night.

What did you mean by that? Most of us conceive that a new computer and a new program will make it easier to manage in human terms.

When you say a new management system, obviously, you are a little jaded about the latest quick fixes that are available.

Mr. BOWSHER. I don't think you can automatically assume that a computer will give you a good system. In other words, it is really the system design— which includes people—what you run through the computer, what kind of controls and reports.

FHA and HUD are good examples. They didn't know where their problems were. Their systems had fallen apart starting back in the 1970s. They were barely able to get out a report at the end of the year to send to Treasury, which was wrong.

They had no information during the year as to where the losses were, what programs, what areas of the country. One of the big things you should have in that type of an operation is who owes you and how long they have owed you, and things like that. They didn't have that basic information. That is the kind of information you have to have, it seems to me.

Mr. FAZIO. Instituting a management system is not just a matter of money and not just a matter of computer hardware?

Mr. BOWSHER. That is right. People are crucial, qualified people.

AGENCY FINANCIAL AUDITS

The fourth criterion would be to ensure that funds of major agencies are accounted for accurately, as required by law and also by the major agencies, as I pointed out. Our HUD financial audit is a good example from this past year, and the Air Force audit will be a good example this year as soon as we release it.

The next two criteria involve GAO's basic legal responsibilities such as ensuring major government programs comply with applicable laws and regulations and fulfilling our statutory and legislative requirements and commitments. The last criterion, and perhaps the most important, is to contribute to congressional decisionmaking on significant public policy issues. For example, one such decision is the issue of major Defense spending.

There will be so many big issues in the Defense arena that this has to be one of our major areas. These are our criteria.

We will be pleased to give you a list of these criteria, that we would like to concentrate on in the next few years and maybe do less of some of the other work we have done in the past.

[The information follows:]

GAO CRITERIA FOR SETTING WORK PRIORITIES

GAO's fundamental responsibility is to support the Congress. This support should, to the extent possible, emphasize assignments which maximize the effectiveness of the Congress as a whole and which have the potential to make major impacts on programs and issues of national significance and importance. To do so, GAO must maintain a broad governmental focus and the expertise to work on a wide variety of topics, and GAO resources should be utilized on assignments having the potential to achieve at least one, and preferrably more than one, of the following objectives:

1. Realize large dollar savings to the government and the taxpayers.
2. Identify and eliminate serious mismanagement, fraud or abuse.
3. Change policies, procedures and management structure of major government programs to better achieve desired program results and/or achieve objectives at lower cost.

4. Ensure that funds of major government programs are accounted for accurately.
5. See that major government programs comply with applicable laws and regulations and funds are spent legally.
6. Fulfill statutory and legislative requirements and commitments.
7. Contribute to congressional decisionmaking on significant public policy issues.

Question. What are we missing out on by limiting your ability to initiate, or to do more intensive financial audits?

Response. Financial audits help ensure the integrity and reliability of not only the statement and financial management information, but also the accompanying management report, which highlights concerns from management. Comprehensive financial statements at the agency level are important, if not crucial, to providing discipline and coherence in financial management and accounting, in ensuring data accuracy, and providing the Congress and the Administration a complete picture of the activities and accomplishments of Federal agencies.

Financial audits provide an opportunity to:

Identify emerging problems, such as FSLIC solvency; unfunded liabilities and pensions; and losses on loans, guarantees, and insurance programs;

Reduce the potential for fraud, waste, and abuse;

Improve the relevance and reliability of information agencies provide to the Congress, Treasury, OMB, and the public;

Influence agencies to gather and report the true costs of their operations, which can be used to improve agency management; and

Influence agency management to discharge its fiduciary responsibility by reporting publicly on accountability for its resources.

IMPACT OF PAY RAISE AND SEQUESTRATION

Mr. BOWSHER. If I could talk about our own budget for a moment, this past year we lost $13.8 million due to three issues. One was the Gramm-Rudman sequester, $5 million; $1.6 million went to the war on drugs adjustment. Then, $7.2 million went to absorbing the Federal pay raise. We had to absorb, a total of $13.8 million. Therefore, we are not going to be able to fund the full 5,100 positions that your committee gave us. We are going to try to fund as many as we can.

We have three options when we have to absorb cuts like that. They are basically our people costs, what I call our operational costs such as travel and training, and our modernization costs, which are our building and computer costs.

The way we have handled this cut of $13.8 million is to come down slightly on people, slow down the modernization of our building, and pretty much protect the computer modernization that we feel is so important.

I might point out our 1991 budget will get us up to 4,300 microcomputer workstations, which was our goal. So that is basically how we plan to absorb these reductions.

By absorbing cuts this way, we can continue to keep the GAO working at very good efficiency. We might just produce a little less than what we have produced in the past, although the first quarter results are very impressive: general increase in productivity, number of products, lower cost to produce the products.

We are doing quite well even recognizing that we have had to absorb some of these cuts.

GAO'S PAY-FOR-PERFORMANCE PLAN

In the people area, GAO introduced its pay-for-performance plan this past year. Joan McCabe is with us today. She knows the details and has done a marvelous job in introducing it to our people.

One interesting anecdote is we had Connie Newman, the head of OPM, over for breakfast. She asked how our new pay-for-performance system was going. We said we think it is going well. We trained 100 people to be grievance examiners and we only got 17 grievances.

She said that is the GAO for you. She said everybody else would have 17 people trained and 100 grievances. We expect there may be some more concern next year when we go to the full system.

On balance, I think GAO people have taken to this plan quite well. It is going to be a big factor in rewarding the people who are really producing. It really puts money behind decisions. In other words, we have an annual discussion with all our people on how well they have done during the year.

I think if you don't have money in that discussion, it isn't quite as real as it is under a pay-for-performance system. I am very pleased.

RECRUITING THE BEST PEOPLE

I might say that the recruiting is really holding up for us. We had 6,000 applicants last year for 225 positions—top notch people. We have gone to a campus executive program where we try to get out and be part of the programs that the faculty want at about 60 universities. I think that is all paying off. More and more people in the universities understand what the GAO is all about, what work we do.

Mr. FAZIO. If I could interrupt you at this point. Speaking of universities, we have been joined by a number of university students from the Moscow Institute of Oil and Gas, who have been visiting the University of Wyoming and have come to visit us in Washington on the way home.

It is nice to have you all.

We are hearing testimony from the Comptroller General of the United States on the General Accounting Office. The GAO is the audit agency for the Federal Government. They do analysis of performance in all of the areas of the Federal Government for the Congress.

Go ahead, Mr. Bowsher. But I do want to insert some questions here.

[The questions and responses follow:]

WORK-LOAD

Question. How is legal work classified? Certainly a great deal is not congressional.

Response. The work performed by the Office of the General Counsel is primarily legal support of GAO's program and technical activities. This work spans technical matters relating to the use of appropriated funds, legal support to audit and evaluation activities, and bid protests concerning all aspects of Federal procurement activities. Most direct responses to congressional inquiries are for bill comments and other legal opinions, of which there were 232 in fiscal year 1989, and for information concerning pending bid protest cases. Indirect responses to congressional inquiries result from advising the program and technical divisions on matters concerning jobs that have been requested by committees and members of the Congress.

Question. For the record, update the source of work and project data on pages 257-258 of FY 1990 hearings.

Response.

GAO PRODUCTS ISSUED IN FISCAL YEARS 1988, 1989, 1990, AND 1991 BY PRODUCT TYPE

	1988 actual	1989 actual	1990 estimate	1991 estimate
Reports and staff studies:				
Congress	45	74	85	95
Committees	609	622	645	685
Members	171	133	135	150
Agency officials	48	52	60	60
Total	873	881	925	990
Testimony	227	217	240	240
Briefings	193	225	250	275
Congressional inquiries on claims activities	197	117	125	140
Legal decisions and advice	6,017	5,838	6,015	6,075
Legal opinions and interpretation for Congress	225	232	225	235
Bill comments	13	48	40	45
Other	9,547	9,635	9,715	9,995
Grand total	17,292	17,193	17,535	17,995

SOURCE OF CONGRESSIONALLY GENERATED WORK

[In percent]

	Fiscal year—					
	1984	1985	1986	1987	1988	1989
Committees	73	73	73	76	78	78
Members	27	27	27	24	22	22
Total	100	100	100	100	100	100

INTOSAI CONFERENCE

Mr. Bowsher. In fact, I might expand on the next item.

We are going to host, in 1992, the auditors general from other countries for a conference that is held every three years in a different part of the world. This past year it was held in Berlin.

The previous conference was held in Sidney, Australia. Virtually all other major countries, except the U.S., have hosted it since World War II. This will be the first time for the USA.

One of the new developments that is being planned for the 1992 conference, and we are being encouraged by the people in Vienna, where INTOSAI's Executive Secretary group is headquartered, is to consider possibly having a special session for the Eastern European countries.

I just received a letter yesterday about the new audit function that they are implementing in Hungary. I think the conference that we are planning to have will have an added dimension here.

We will be looking at some of the countries that maybe have not had an audit function and could adopt some of these principles.

The principle really is to have an independent group looking at the government operations and to be able to report to the Congress or to the Parliament as to what it finds. I think it will be a very interesting and helpful situation.

Mr. Fazio. I know that the Library of Congress has been consulting with the Soviet Union on a similar concept with the presidium.

We may see a similar analogy to the GAO on the audit function as well.

Mr. **Bowsher.** We are getting visitors from the Soviet Union and many other countries at the GAO. They all seem very, very interested in our work, especially the Members of Parliament, particularly the ones that are being newly elected to these parliaments.

I think what they are concerned about is what most legislative bodies are concerned about: that is, are they getting good information as to how things are working in the various ministries and the various programs and to see how GAO helps with that issue here.

I think they find our role very fascinating.

Mr. Chairman, that pretty much sums up the presentation that I wanted to make. We would be happy to answer any questions.

SOURCES OF GAO WORK

Mr. **Fazio.** I know there are a number of Members here who are very interested in your work.

I wonder if at this point I might yield to Congressman John Myers, who I know has a lot of interest in this area.

Mr. Myers, do you have any questions?

Mr. **Myers.** Well, yes.

I have been somewhat critical in the years past concerning the rapid growth of the General Accounting Office, the numbers of people and the work load.

I know, as we have discussed in previous years, that your work load is not self-initiated but has been pushed upon you.

Has there been any change in the past years from congressional requests?

Mr. **Bowsher.** I think there have been two changes. One is we are getting more, so it hasn't slacked off.

Mr. **Myers.** Sorry to hear that.

Mr. **Bowsher.** I would also say the quality is getting better. In other words, I think the issues the GAO is working on today are the more important issues. Not that we didn't do that in past years. I think the Congress today does look to GAO for work on practically all the important issues that the Congress is facing. I don't think that was true 10 years ago, but it was moving in that direction.

Maybe Milt Socolar can comment here. When I first came in the office, I had a sense lots of times, when something big was happening in a certain area, that sometimes we had to kind of work hard to make sure they thought of us as a place to go to get some studies done. That is not true anymore. In other words, whether it is the savings and loan crisis, the HUD crisis, the base closures, anything that is happening now it seems to come over here.

SAVINGS AND LOAN WORK

One of our problems is that so much of it gets mandated in legislation. In other words, if you look at the recently enacted savings and loan bill, there are many sections asking for a GAO study of one subject or another.

Mr. **Fazio.** They are killing you with kindness.

Mr. **Bowsher**. They really are, but this is important work. In that savings and loan area, the RTC, is one of the biggest risks that the government has ever had to face in modern times.

The GAO should be watching over it. Also, as part of the debate, everybody got educated on some other things. Like the GSE's, something people knew existed, but these are government sponsored enterprises like Fannie Mae and all the others which had been created. People said, "You know, there is some potential liability in the future, but we won't worry about it because we think everything will work well."

After you look at this savings and loan situation, people say, "How well are those other areas working?"

Now we are studying those, according to the mandates in that legislation.

I think that what we have to do constantly—and that is why these new job criteria are important—is to try to make sure it is the important work we are working on.

We are not growing in size. We really are at the same size we were at 15 years ago. We have really improved our productivity and the number of reports we issue.

But, if I was to say what is our major problem, it is the one I have identified.

WORKING WITH THE COMMITTEES

Mr. **Socolar**. One of the big changes I have noticed is that there is a lot better communication between ourselves and the committees now, so that they know what we are working on, and we know what their interests are. And in terms of the kind of requests we get, I would certainly agree that compared to the kinds of work we were doing in the past, it is much more significant today.

Mr. **Myers**. I have gone through your prepared text here. What percentage of your work load is mandated by statute?

Do you know that offhand?

Mr. **Socolar**. We have generally in the past——

Mr. **Bowsher**. I think we have got that. It is growing. That is an area that is growing.

It is especially coming in areas where legislation is being passed after major problems are identified such as the HUD situation and the savings and loan situation. We are getting more and more of it in the defense arena each year. Overall our work on continuing statutory requirements and legislative mandates is about 10 percent.

Mr. **Myers**. That is relatively new in the last few years. I don't recall years ago mandating you to do something.

LEGISLATIVE MANDATES

Mr. **Bowsher**. Where it started to really grow was with those continuing resolutions. People throw in everything there.

Mr. **Myers**. We might have a big one this year.

Mr. **Bowsher**. That is where it started to grow. Now we see it in lots of pieces of legislation. Is that a fair statement, Milt?

Mr. SOCOLAR. Yes. In the past a lot of it was tied to corporation audit type work, which was a relatively small part of the work of the office.

Mr. MYERS. Is there cooperation between OMB and you folks? Do you work together?

I hear, it seems like loggerheads so often.

Mr. BOWSHER. We try. I make most of the calls. I don't get too many calls from them.

A little more cooperation now than during the Stockman era. It was very difficult them. I went over and had a big meeting with him one Saturday, and he just didn't want to be bothered with some of the things that I was pushing, namely, better information, better accountability, and things like that.

He had black books, he knew what the numbers were.

Mr. MYERS. He was pretty opinionated. A lot of us are.

Mr. BOWSHER. I think when Miller came in, we had a better shot at it. I think Mr. Darman and his people are better as far as our ability to work with them. However, it is still more of us calling them.

I would say we have got their attention. If you look at what is in that document that he just sent over here, there are a lot of things in there that the GAO has raised in the last couple of years.

I think that is progress. What might help here is Senator Glenn's initiative.

He is going to have the three of us at the table here in the next 30 or 60 days talking about these lack of controls, outdated accounting systems, and whether the GAO, Treasury, and the OMB people can work together to come up with some solutions and improvements.

I think that is very good. The three agencies were told to work together, when the 1950 act was passed.

We have not. In fact, I have had a hard time getting meetings of the principals together.

So I think that putting a little congressional pressure on here is all to the good because we should be working together.

Mr. MYERS. I realize that your function is very, very necessary to our system, but I have been a critic about too much going through GAO. I think a lot your work load is unnecessary.

Even though I am usually very much opposed to another layer to your office, or regulation or control, it seems to me in this instance there should be some kind of a clearinghouse since every committee desires you to make a study and give a report. There ought to be a clearinghouse making sure it is really needed.

I don't know how you would handle it. It seems to me there ought to be some way to clear those unnecessary and sometimes, I think, unreasonable requests that you receive.

I don't know how that would work.

Mr. BOWSHER. We have talked about it at times. If I could figure out a way to do it, I would be interested in it.

Sometimes you would run into the concerns of individual committees.

I would be more than interested in discussing it with anybody if we could ever figure out how to do it. We try to do it ourselves in our negotiations with the various committees.

When we see something we don't think we should be doing, we discuss it.

Mr. Myers. It seems they are requesting you to do something that the committee staff itself should be doing.

Mr. Bowsher. That is a very fair statement.

Mr. Myers. They are forcing on you to do their work.

Thank you for your testimony.

Mr. Fazio. Mrs. Boggs, do you have any questions at this point?

GAO FIELD STRUCTURE

Mrs. Boggs. Mr. Chairman, Thank you.

I am interested in the structure and the work load of the GAO's field organization. How many regional offices and sub-offices does GAO maintain in the United States? How many are maintained overseas? Would you please submit a table illustrating this structure for the record?

Mr. Bowsher. Sure. Let me just give you a summary now.

We have 14 regional offices in the United States and we have about 100 to 180 people in these regional offices, including their sub-offices.

Mr. Myers. In each?

Mr. Bowsher. In each. Let me put it in this perspective. Of the 5,000 people in GAO, about 3,000 are located in Washington and nearly 2,000 are located in our field office structure.

Why do we have a field office structure?

Eighty percent of the federal budget is spent outside of Washington. Most people don't realize that.

We have an office in Cincinnati, which is one of the 14. One of its sub-offices is Dayton because that is where Wright Patterson Air Force Base is located. Many of the big Air Force programs are developed there.

We have 19 sub-offices in various places. They are quite small. They have up to 32 people each. Then we have two offices for our overseas work.

We have 30 people in one office in Hawaii that we refer to as overseas, but it is obviously in the states. And we have one office in Frankfurt, West Germany, from which we do most of our work in Europe, the Middle East, and Africa. There are 49 people in the Frankfurt office. That is basically the structure.

I would be more than willing to give you a more detailed listing.

[The information follows:]

The following chart shows the location of GAO's regional offices, suboffices, and staff.

Atlanta Regional Office	148
Huntsville, Alabama	25
Knoxville, Tennessee	1
Eglin, AFB, Florida	5
Total	179
Boston Regional Office	107
Chicago Regional Office	112
St. Paul-Minneapolis	15
Total	127
Cincinnati Regional Office	75

Dayton, Ohio	32
Indianapolis, Ft. Benjamin Harrison, Indiana	7
Total	114
Dallas Regional Office	123
San Antonio, Texas	16
New Orleans, Louisiana	8
Total	147
Denver Regional Office	98
Ogden, Hill AFB, Utah	2
Albuquerque, New Mexico	18
Total	118
Detroit Regional Office	96
Cleveland, Ohio	13
Total	109
Kansas City Regional Office	67
Oklahoma City, Oklahoma	15
St. Louis, Missouri	31
Total	113
Los Angeles Regional Office	129
New York Regional Office	103
Albany, New York	21
Total	124
Norfolk Regional Office	101
Raleigh, North Carolina	8
Total	109
Philadelphia Regional Office	114
Pittsburgh, Pennsylvania	12
Total	126
San Francisco Regional Office	120
Sacramento, California	14
Total	134
Seattle Regional Office	82
Richland, Washington	1
Portland, Oregon	19
Total	102
European Office	49
Far East Office	30

OFFICE CLOSURE CRITERIA

Mrs. Boggs. How do you determine whether or not to close one of your field operations?

Mr. Bowsher. We have been closing several sub-offices, as I have reported, each year. We closed all our overseas offices, as you remember, except Frankfurt. For example, we used to have one in Thailand.

I feel very strongly that you have to have real justification to have a sub-office, because it is not good for the people to be in such a small office.

We feel that for developing our people professionally, so that they can grow in their capabilities and, therefore, help us do a wide variety of work, leaving them in these really small offices is not good. We feel the regional office structure is much better, because we need people to be working with more experienced people, and we need people to develop new skills.

So, professional development is one of the major issues.

The second issue is the work load. Unfortunately, if we have a small sub-office where the federal presence is in only one or two areas, pretty soon we are over auditing those organizations. For example, take the situation in New Orleans.

We have done a lot of work out of our New Orleans office on the strategic petroleum reserve and on the National Finance Center. We really audited those. We have issued a lot of reports.

Now it is difficult to find other things for the New Orleans staff to do and have them grow in capability. The same with our Pittsburgh office, one that we have announced we are going to close. That is, we have done the work needed around Pittsburgh. We think it would be much better to close that office and have those people in Washington or in one of the regional offices like Philadelphia.

What we are trying to do is make our overall operation more efficient by having the people in the right place.

The right place really means where we have plenty to audit, plenty of variety, and a big enough group so that they can develop, rise in the organization, and improve their own skills.

Mrs. BOGGS. What is a minimum level of work that is necessary to keep a field office in operation?

Mr. BOWSHER. What is there to be audited? Has it been audited? In other words, do we see in the next five to ten years the need to go out and do more audits at those locations?

When we add that up and say, "Gee, there isn't much potential there," that is when we start to think about possible closure.

Mr. GOLDSTEIN. If I might make a suggestion, in a number of the sub-offices that are the smallest we have a limited number of jobs going on at any moment in time, sometimes only a few jobs in some of them. With that small number of jobs, it is very difficult for those people to grow, and where you have a small number of people in an office, it is very difficult to supervise the quality of the work on site.

We find, as the Comptroller General said, that as people look for other things to audit, the career opportunities are not there and the supervision is not there. Most of the sub-offices that are either slated to close or are being considered to close are sub-offices that have really very few jobs going on.

Those jobs are ones in many cases that can be done in any one of a number of other locations or done in that local location from the regional office, which is in many cases close by.

Mrs. BOGGS. Did I understand you to say that you do a separate auditing of the separate branches of the Armed Forces?

Mr. **Bowsher**. Yes. In other words, we have done the first one on the Air Force. We plan to do the Army and the Navy.

Mrs. **Boggs**. Do you recognize the 8th Navy District, the 4th Marine Airwing, the Navy Reserve Personnel Command, and the 8th Coast Guard District all are in New Orleans?

Mr. **Bowsher**. Yes.

Mrs. **Boggs**. Would that increase the work load there?

Mr. **Bowsher**. We have not laid out the plans to do those audits. If that was included, that would increase their work.

PROMOTIONS OF WOMEN AND MINORITIES

Mrs. **Boggs**. Thank you, Mr. Bowsher.

Would you please bring us up to date on GAO's efforts to hire and promote qualified women and minorities in management positions, what is the level of women and minorities in senior service executive positions?

Mr. **Bowsher**. Sure. Let me give an overall observation, and I will ask Joan to add to it.

In our senior executive service, which is our top people, of course, we have about 140 people, and 20 percent are women and minorities now.

We have a very good trend line going and more are coming in, and we are getting better representation. At the GS-15 level there is a problem.

In other words, we do not have enough representation there. That is the biggest problem we have.

Then at the next level in which we have now combined grades 13 and 14, we are making real good progress, and we are making good progress at the entry level. Our problem is getting more people into grade 15 level positions.

Then, of course, that will allow more applicants from the women and minorities for the SES. We have a very strong affirmative action program.

We have made most of our goals over the last few years, not as much with the Hispanics as I would like. The Director of Recruiting is a Hispanic woman.

I am hopeful that we are going to correct all those problems.

RECRUITING HISPANICS

Mr. **Fazio**. There are a lot of Hispanics along the Gulf Coast?

Mr. **Bowsher**. Yes.

Mrs. **Boggs**. I represent the city with the world's third largest Honduran population.

Mr. **Bowsher**. I will take note of that. One of our problems is that many are reluctant to come to Washington—where most of our organization is—you cannot blame them; right?

Our Texas office and our California offices seem to be better able to recruit Hispanics. We also do very well in Denver, as a matter of fact.

But getting people to come into Washington, where we have more openings, has been one of the problems.

I think we can overcome this. I really do. Joan?

Ms. McCabe. I think the major thing is that at the entry level and movements throughout the organization, we are making very good progress.

It is at the top level, the GS-15 level that we are having our most difficulties. We have good success with women, good success with blacks. We have not had that comparable success with Hispanics. We are targeting and working on that issue, but we have not been able to crack that yet, but the trend line is good.

Mr. Goldstein. I think it is important to note that it is at that 15 level where the career ladder shifts almost entirely from the field to headquarters.

Our Hispanic staff in the regions who have been offered positions and who would like to move into positions where they can go up through the 15 level and higher become a problem as it is very difficult for them to move because of their family orientation.

But, we are working on it. Frances Garcia, Joan, and myself are working very hard at identifying people for those kinds of positions.

SES RETENTION

Mr. Bowsher. One other point here. With the pay increase now that is slated to come in 1991, I am going to have very few retirements of my top people for three or four years.

In fact, the way I have got it figured, I could lose 40 SES people in 1994 out of 150 people, quite a sizeable number.

In other words, they are the ones that will be eligible to retire. At that time they would have the higher average three years salary for a larger annuity.

Mr. Fazio. We understand. We may have the same thing happen.

Mr. Bowsher. I don't view that as a problem for GAO, because we will have to bring staff into our SES development program so we will have replacements ready. I have done an estimate of where we will be in 1995 and 1996, which will be my last two years.

I see the leadership of GAO, the top 25 to 30 positions being one third women and minorities at that point in time. In other words, I would think that, like Joan, some of the others that came and joined GAO in the late 1960's and 1970s will have moved right up to the most senior positions by the time I leave office.

I think that when we hit the year 2000, when everybody talks about the year 2000 work force, we will have the representation of women, the minorities, blacks, Hispanics, Asians and other groups that will allow us to recruit more effectively.

This is what I keep saying to the GAO people. We have got to be one of the organizations to achieve it because then we are going to be one of the organizations that gets the good people starting with the year 2000.

If you have not achieved that, if you are an all white male dominated organization coming into the year 2000, you are going to have a hard time getting the good recruits out of that new American work force. I think we are going to achieve it. I really do.

Mrs. Boggs. Thank you.

Thank you for such a good report.

ELECTRONIC MAIL BOX

The House Information System includes an electronic mail feature that permits staff to order publications from the Congressional Research Service and the House Document Room utilizing E-mail. I understand the system has proved to be successful and efficient in reducing staff time in placing orders for publications as well as reducing errors that might be made in transcribing phone orders.

Would you please have somebody check with HIS to investigate the feasibility of establishing an electronic mail box.

Mr. **Bowsher**. Sure.

Mrs. **Boggs**. Would you report back to us on the prospects?

Mr. **Bowsher**. We will be pleased to do that.

[The information follows:]

Since October 1989, GAO has been using the House Information Systems E-Mail, and it is technically feasible to establish an E-mail box for use by congressional staff to request GAO products. However, this may involve not only issues of electronic communication but the issues of indexing, abstracting, on-line accessibility to text, and perhaps others. We have had preliminary discussions with HIS staff. We will complete these discussions, define alternatives, and report back to the committee.

Mrs. **Boggs**. Thank you.

Thank you, Mr. Chairman.

ARMY BASE CLOSURES

Mr. **Porter**. I would just like to thank the GAO. Mr. Bowsher, I think you do a magnificent job for the Congress.

If somebody were to ask me point your finger at an exemplary federal agency or office, I would start with GAO. I think you do a wonderful job for us.

The only mistake they made, Mr. Chairman, in the last year that I am aware of is failing to find that Fort Sheridan shouldn't be on the closure list.

Mr. **Bowsher**. When I was in the Army, I was stationed at Camp Hillman, New York.

Mr. **Myers**. I was there in 1944.

Mr. **Bowsher**. All of a sudden in 1955 we were processing so few people that we had one permanent person for every person we were processing. We said we could get rid of all this processing. People were saying "You can't close Fort Dix because the barracks aren't ready someplace else." I said, when I moved to Fort Dix, that they didn't have the barracks ready for us. Having gone through base closures as a young soldier, I have a feel for this operation.

Mr. **Porter**. I would like to disagree a little bit with my colleagues about having some kind of review mechanism put between you and the request for studies. I worry a great deal that in certain ways you are the repository of truth in all this and that your credibility is your greatest asset.

I think that there are some places in the process in this Capitol where the truth is desired to be repressed for one reason or the other.

Often the only way you can get at it and get a clear picture of things that bears upon important decisions is to go to the GAO and have a study made. I think the screening that you do and attempting to tell people whether it is useful or not, I think people listen to that pretty well. That, I think, is the only screening that ought to be part of the process.

I would hate to have to take my request or some other request and filter it through some kind of super committee before we can talk to the GAO. I think that would be a very, very pernicious thing for Congress.

JOB STARTS REVIEWS

Mr. **Bowsher**. That is the other side of the issue—that there is the freer flow of requests.

If I could make one more point here, every Thursday morning my staff and I sit at a conference table about this size, and we go over all the jobs, whether they are being requested by the Congress or are self-initiated. Even if our own organization hasn't been able to turn them back, we make a secondary effort to do that if we think they are not the proper jobs.

I think Congressman Myers has a fair point. That is, we end up doing some jobs that we probably shouldn't be doing.

I grant that. I would love to get rid of most of those.

However, there is a free flow of assignments, which come directly to us, and which we try to screen to the best of our ability. We really do try to negotiate out of some of those situations.

We also believe that a lot of these assignments could be done by the IG's, too. That is another area that we would like to direct some of the work to, in addition to the committee staffs. But I see both points. I really do.

ROLE OF INSPECTORS GENERAL

Mr. **Fazio**. Could you yield on that point, John?

What can you do to get the IG's to become more aggressive? Are they taking cues from the administrative leadership?

Why aren't they taking up more of these burdens?

Mr. **Bowsher**. It is more of a case that some of the congressional committees are reluctant to turn work over to them. I generally don't see a reluctance on the IG's part to take the assignments. It is more a preference to have GAO do the work.

Mr. **Fazio**. They don't trust them?

Mr. **Bowsher**. To a certain extent it is that. Sometimes I think the capability might be more in our office. We have been in business a little longer.

Mr. **Fazio**. Some day you may want to do an overall analysis of the IG's.

Mr. **Bowsher**. We are doing them one at a time.

Mr. **Fazio**. Here is another level of analysis that is not working the way it was intended.

Mr. **Porter**. What kind of break out is there for requests, or rather perhaps staff time or costs?

Do you have a breakdown by military subject, health care, agriculture, something like that?

Mr. **Bowsher**. Yes. We plan our work in 36 issue areas, eight of which are defense.

We keep our statistics according to those 36 issue areas. We can give you a breakdown on how many resourses we put into each issue area.

Mr. **Porter**. I would be interested in seeing that.

Is there an ongoing study right now on the Medicare system and what sort of mechanism might be following our present perspective pay system?

Mr. **Bowsher**. Yes, we are doing a series of jobs nearly all the time in the Medicare area.

We could give you a list of those.

Mr. **Porter**. I would like to see that, too.

[The information follows:]

Ongoing GAO Medicare Assignments

1. Appropriateness of Durable Medical Equipment Payments
2. Medicare Paperwork Requirements
3. Costs Under Durable Medical Equipment Fee Schedules
4. Home Health Agency Contracting
5. Home Health Agency Cost Limits by Discipline
6. Chicago HMO's Physician Anesthesia Payments
7. Hospital Costs and Revenues in Medicare & Medicaid
8. Medicare HMO Rate Methodology
9. Hospital Cost Reporting
10. OBRA 86 Impact on the Disabled
11. Laboratory Profits from Medicare
12. Medicare Supplementary Policies
13. Medicare HMO-PRO Program
14. MIG Implementations
15. Beneficiary Coinsurance
16. Medicare Payment for Eyeglasses
17. Medicare Prescription Pricing
18. Medicare-Medicaid Information Exchange
19. Payment for Anesthesia Direction
20. Anesthesia Payment Controls
21. Medicare Contractor Transitions
22. Prescription Drug Pricing
23. Medicaid Access to Nursing Home
24. Michigan Third Party Recoveries
25. Medicaid Third Party Recoveries
26. HCBS in Arizona
27. Medicaid Mental Health Coverage
28. Medicaid Expansions' Program Impact
29. Medicare Waste, Abuse and Mismanagement

GAO DIRECT ASSISTANCE TO THE CONGRESS BY ISSUE AREA

Issue areas/areas of interest	Percent of work [1]	Staff years
Program Divisions		
General Government Division:		
Financial Institutions and Markets	63.8	84
Tax Policy and Administration	79.7	118
Administration of Justice	100.0	118
General Management Review	20.4	11
Privacy	97.6	7
Civilian Procurement and Property Management	92.9	47
Federal Civilian Workforce	92.8	84
National Productivity	36.9	1
Total	73.0	469

GAO DIRECT ASSISTANCE TO THE CONGRESS BY ISSUE AREA—Continued

Issue areas/areas of interest	Percent of work [1]	Staff years
Human Resources Division:		
Education and Employment	98.2	88
Intergovernmental Relations	97.3	50
Public Health and National Health Issues	94.9	61
Health: Direct Delivery	92.7	75
Health: Medicare and Medicaid	90.3	91
Income Security	83.4	114
Total	92.8	479
National Security and International Affairs Division:		
Logistics	100.0	68
Manpower and Reserve Affairs	97.9	58
International Trade and Finance	94.2	68
Command, Control, Communications, and Intelligence	93.2	60
Army	92.1	118
Security and International Relations	91.2	51
Foreign Economic Assistance	87.6	56
National Aeronautics and Space Administration	85.8	4
Navy	80.8	103
Air Force	78.2	111
Research, Development, Acquisition, and Procurement	77.9	83
Total	88.9	781
Resources, Community, and Economic Development Division:		
Science and Technical Policy	99.7	2
Energy	99.0	136
Natural Resources Management	98.1	104
Environmental Protection	97.3	131
Food and Agriculture	95.4	113
Transportation	92.5	145
Housing and Community Development	88.4	71
Total	95.8	701
Technical Divisions		
Accounting and Financial Management Division:		
Audit Oversight and Policy	69.4	34
Internal Control and Financial Management Systems	64.6	92
Financial Statement Audits	43.4	127
Financial Management Standards and Initiatives	39.2	15
Total	54.2	268
Information Management and Technology Division:		
Information Management and Technology	80.9	109
Program Evaluation and Methodology Division:		
Program Evaluation and Methodology	77.9	67
Other Division Work	69.4	87

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[1] The percent of work figure for each issue area represents the ratio of staff resources devoted to completion of assignments in the issue area that were undertaken as a result of a legislative mandate in the law or bill reports or to comply with requests of committee chairman and individual members of Congress. For instance in the Education and Employment issue area, 98.2 percent of the staff year resources assigned to this issue area were used in fiscal year 1989 to meet direct assistance requirements of the Congress.

BREAST CANCER SYMPOSIUM

Mr. PORTER. Thank you, Mr. Chairman.

Mr. FAZIO. Thank you.

Mrs. BOGGS. On that subject, I would just like to comment. I was interested in your written material that you refer to the National Cancer Institute's two-day session last November that included more than 30 experts from around the country providing advice on how cancer treatment studies should be structured.

Throughout the session, GAO was given credit for the meeting and for the structure of these studies from your report entitled "Breast Cancer Patients' Survival." Several of us around this table would like to thank you for that.

SYMPOSIUM ON COMPUTERS

Mr. **Bowsher**. I appreciate that. There is one other thing I would like to mention, if I could.

We are probably spending an increasing amount of time on some of these types of efforts, where we have done a body of work and then followed up on it. We did a major symposium—it didn't take long—on the government's computer systems, where we brought in experts from large private-sector companies.

I think it really does help. That is a role where GAO can be helpful in some of these difficult areas and we are doing that.

Mr. **Myers**. Along this line of questioning, on that November session you had with the 30 experts from around the country, did you participate in it or just observe? What participation did GAO have in that meeting?

You state that the National Cancer Institute held a two-day session in November 1989 with more than 30 experts from around the country providing advice on how cancer treatment studies should be structured.

Throughout this meeting credit was given to a GAO report entitled "Breast Cancer Patients' Survival."

I just wonder, other than that contribution, what did GAO contribute to this meeting?

Mr. **Bowsher**. We were in attendence at that symposium of 30 expert participants. It was very much like what we did on computer symposium, where mostly outsiders made the presentations and led the discussions.

Mr. **Myers**. Did you have a report on that, your meeting, written document?

Mr. **Fazio**. Is there a transcript?

Mr. **Bowsher**. There is a report in progress. It has not been issued. But, we will get it to you.

Mr. **Fazio**. Could you provide that preliminary report to Mr. Myers?

Mr. **Bowsher**. We will.

Mr. **Goldstein**. Let me say there is a report preceding that on survival rates of breast cancer that led to the discussion.

Mr. **Myers**. I read that. I would like a copy of that.

USE OF SYMPOSIA

Mr. **Goldstein**. This is a procedure that our divisions are using more and more in order to report to the committees the general sense of expert advice by convening quantities of experts, collecting and weighing and moderating some of the discussions, and then providing what the experts have to say in a particular area.

Mr. **Bowsher**. If I could use an illustration from the computer symposium, one of the four people we brought in was the President of Information Systems of the big insurance company in San Antonio that sells insurance to officers in the military services.

Mr. Fazio. U.S.A.A.?

Mr. Bowsher. Yes.

What they did starting about 10, 15 years ago was to get away from this paper work and capture the information as it arrived electronically. They said they were running out of college students to work the night shifts to find missing files.

In other words, like any organization that has to retrieve something, they often found it was misfiled. Now if you compare that to the IRS, whose top people attended this symposium, they receive 200 million tax returns a year, but they only access or put into their computer system 2 percent of the information. They have to retrieve 40 million tax returns every year to deal with the public on whether they have paid enough.

A substantial amount of time they can't find the necessary information. That is why if you ever get called in, you will be asked to bring your last three years returns.

One of the criteria for inviting the four people from the private sector is that each organization had to be big enough to be comparable to a government agency. This organization, when they put the last addition on their building in San Antonio, will have a building that is bigger than the Pentagon.

That is how big the operation is. It is huge. If you call up, if you send a claim in, whoever takes your call will be able to bring it up on the screen and therefore deal with you, answer your questions.

Those are the techniques we should be using in some of our government agencies.

Mr. Fazio. We could use the software packages and modify them to meet our needs.

Mr. Bowsher. That is the kind of symposium we will devote two days to and invite other people, but GAO organizes and chairs it and gets the report out.

Mr. Goldstein. Let me clarify one more thing here. The symposium that is referred to in the testimony was the National Cancer Institute symposium and not a GAO symposium.

It was run by the Institute, and GAO did not have a formal role in that symposium. It is not part of a GAO job.

The National Cancer Institute may have some things that we would be happy to try and get.

Mr. Fazio. If you can facilitate that, we would appreciate it.

Mrs. Boggs. But, throughout the meeting, credit was given to your initial report on breast cancer patient survival as having been the impetus for convening the meeting and serving as a model for the reports.

Mr. Bowsher. Very true. If we had not issued that report, they would have never had the meeting.

Mr. Fazio. Which is the reason it was mentioned in the testimony.

Mr. Lewis has been at the White House. He is back.

[Clerk's note.—At the request of the Committee, GAO contacted the National Cancer Institute concerning an NCI report on its Breast Cancer symposium. NCI indicates that it is developing that report and plans to publish it in May 1990. NCI also intends to share with the National Cancer Advisory Committee at its May meeting the recommended plan on where NCI should proceed on breast cancer research. When NCI issues its report GAO will obtain a copy for the House Legislative Appropriations Subcommittee.]

CONGRESSIONAL DETAILEES

Mr. LEWIS. Sorry that I am late.

Mr. Bowsher, I have some questions that concern the subject of GAO employees and how some of them may be detailed. I will ask a number of those for the record.

Let me be specific.

I understand there are as many as 60 GAO professionals who are detailed to the House. Can you explain this program, how we get this number of detailees particularly as you are asking for additional employees?

Mr. BOWSHER. Yes. We have for many, many years now provided detailees to various committees upon request. At one time we charged for it.

In other words, we got reimbursed. That disappeared here in the House some——

Mr. SOCOLAR. The Senate required reimbursement. The House was always a free ride.

Mr. LEWIS. To whom do those employees respond? Do they respond to the committee, to you?

Mr. BOWSHER. Strictly to the committee. When we detail a person to a committee, he or she responds to the committee. We do not in any way try to direct detailees' work or even ask them to keep us informed.

They don't use GAO credentials or anything like that. What we try to do, and Milt handles a lot of these, is to get our people back in a year.

We say to the committee we will loan you so and so, but only for one year.

I would say 70 percent come back without any problem. But with the other 30 percent there is often a call that we get from the Chairman of the committee who says they are not quite finished with this project. They would sure like to keep our person for another six months.

If it is two or three months, it is not a big problem. It is when it is six months; then it is a year; and then a year and a half.

Mr. FAZIO. That sounds like the traditional method by which the British Navy recruited sailors.

Mr. BOWSHER. It is a problem that we have to spend a fair amount of time on, getting our people back.

MEMBER REQUESTS FOR GAO STAFF

Mr. LEWIS. About two years ago I wrote a paper that essentially outlined the idiosyncrasies of the catastrophic health care package that we eventually passed and then decided to repeal.

Because of my background in the pension and health field, I am planning to put together a health package relative to catastrophic care of another nature. Let's say a member around here like me who is interested in such a detailee, who would have expertise in that subject area, how could one go about making such a request?

What is the likelihood of that request being responded to?

For a general Member, what happens?

Mr. **Bowsher**. What we generally ask is that the request come through the committee structure so that we are dealing not with individual Members because we would be swamped. I would think if you were to request somebody through the committee structure——

Mr. **Socolar**. The process would, through statutory prescriptions.

Mr. **Fazio**. If you have any that are statutory, they will help you.

Mr. **Socolar**. One of the problems that we do have that Chuck mentioned is the issue of getting our people back within the year that the statute prescribes. What often winds up happening is that we move people from committee to subcommittee in order to stay within that statutory requirement.

Mr. **Lewis**. Has GAO ever done an audit of what those detailees have done, the role they play, an analysis of how effective you are getting them back when you want to get them back, et cetera?

Mr. **Socolar**. We keep them under control. At all times we know where they are, we know who they are working for. As the Comptroller General said, we don't try to monitor what they are doing for the committee because it is very, very clear that when we assign somebody to the committee, that person is a committee staffer for all intents and purposes.

Mr. **Lewis**. I must mention that the reason I am pressing this is because there has been a lot of discussion about the minority in the past not exercising themselves to get a minimum percentage of committee employees.

They are talking about now a floor of 20 percent of the employees of committees. If the total number is then supplemented by detailees from a source of personnel like GAO, that distorts the picture in another way.

It is the reason that in some of my circles here they are discussing these items. I would appreciate if you would respond in more detail for the record.

[The questions and responses submitted by Mr. Lewis follow:]

Questions Submitted for the Record by Mr. Lewis

DETAILEES

Question. Mr. Bowsher, I understand that as many as 60 GAO professionals are detailed to the House. Could you explain this program?

Response. GAO assigns or details personnel to committees of the Congress. The statutory authority is in Title 31 of the United States Code:

> 31 USC 712(5)—"The Comptroller General shall give a committee of Congress having jurisdiction over revenue, appropriations, or expenditures the help and information the committee requests."
>
> 31 USC 734—"The Comptroller may assign or detail an officer or employee of the General Accounting Office to full-time continuous duty with a committee of Congress for not more than one year."
>
> 31 USC 719(b)(1)(C)—"The Comptroller General shall * * * report [annually] to Congress * * * the name of each officer and employee of the General Acounting Office assigned or detailed to a committee of Congress, the committee to which the officer or employee is assigned or detailed, the length of the period of assignment or detail, a statement on whether the assignment or detail is finished or continuing, and compensation paid out of appropriations available to

the Comptroller General for the period of the assignment or detail that has been completed."

Because of this statutory authority, GAO responds to committee requests for detailees. During the period of assignment, they work under the authority, direction and control of the committee. The detailees are provided committee identification and represent themselves as committee staff in conducting their work, not as GAO employees. Some committees have had GAO detailees testify in their own hearings and their testimony is identified as "committee staff (on detail from GAO)". All documents, records, and work papers that are developed during their assignment are the property of the committee and remain with committee at the completion of the detail.

In general, GAO detailees have been very positive about their congressional experience. They are usually given positions of responsibility, from which they gain an intimate knowledge of Congressional operations and develop a high degree of job satisfaction in seeing their work quickly result in oversight hearings and legislation. I view these experiences as career enhancing and have stressed that GAO should provide our best people for these assignments.

Question. What procedure would I need to follow to obtain a GAO expert for a special project?

Response. The procedure is relatively simple. As previously described, GAO assigns people only to committees. The full committee staff should be notified for two reasons. One is to obtain their endorsement and the second is the committee's responsibility under 2 U.S.C. 72a to obtain permission from the Committee on House Administration for the detail.

The assignment process generally works as follows. Our Office of Congressional Relations (OCR) staff works continually with committee staff on all matters involving GAO and usually receives the initial request for detailees. This is often an informal discussion in which we determine several criteria:

1. The subject matter of the job;
2. The estimated length of time;
3. The type of effort, i.e., working as part of a team, managing others, or working alone on a job, so we can determine the approximate grade level needed;
4. Geographic location, i.e., Washington, D.C. or elsewhere and the estimated amount of travel from the primary location;
5. The need for specialized background or training, i.e., economics, legal, security clearances, etc.

With this information, the OCR staff contacts the GAO unit which usually performs the subject matter work and asks it to identify one or two good candidates who would be available soon without seriously impairing GAO's on-going congressional work.

Upon receiving the GAO unit's recommendation, OCR reviews the nominee and arranges for a meeting between the nominee and the committee staff member managing the effort. When the detail is mutually agreed upon (and most of them are) the assignment is usually formalized in a Committee letter to the Comptroller General and an acknowledgement letter from GAO is provided.

Question. GAO is requesting more personnel, if GAO is so "strapped" can it recall its detailees? Does GAO turn down requests for detailees? How many detailee requests were denied in 1989?

Response. As cited in the response to Question 1, the length of assignment can be for "not more than one year." GAO has a very difficult time recalling its detailees before the year elapses even when the initial reason for the detail has been completed. Sometimes GAO has been able to have the detailee returned with the understanding that the detailee will be returned to the committee some months later for a period of two to three weeks. This usually occurs when a hearing on the subject cannot be quickly scheduled or a bill mark up or legislation will not occur until later.

GAO does not routinely turn down requests for detailees, but often GAO will be able to reach agreement with the committee staff to either shorten the length of time initially described or to reduce the original number of detailees requested. On occasions, however, GAO has not been able to accommodate a request because we did not have an individual available with the necessary background and expertise to be of assistance to the requester.

Question. Has GAO ever done an audit or formal report on its own practice of detailees? If so, I would like to have a copy. If not, why?

Response. GAO has not done a formal audit of the detailee process. However, through the Office of Congressional Relations, GAO conducts a continuous feedback process, both with the detailee and with the committee staff where the detailee is assigned. In addition, GAO has an annual performance review for each employee. A part of the review includes appraisal forms that are completed by the detailee's supervisor on the committee assessing the detailee's work effort.

GAO's senior management is involved with the OCR staff on a daily basis to ensure that the number of detailees are kept to a minimum, that the detailees are being effectively utilized and that the committee's objectives are being met.

GAO OFFICES

Question. GAO prides itself on quality, integrity and accuracy of its reports. My question refers to an article that I read in the newspaper in late November. According to the article, Customs officials broke into a GAO audit office located in the Customs building. My concern is a comment that Mr. Von Raab made at the time of the incident.

"Don't get me wrong. I am not excusing or condoning their conduct. But they had a key to that office. They just forgot the key."

Does GAO routinely give out keys to its offices, even when they may be temporarily located in an agency being investigated? How secure are GAO offices? Why would an executive branch agency have a key to a legislative branch office?

Response. GAO does not routinely provide keys to its offices to other agencies or to building owners, or to any other entity. In some cases, however, the host agency or building manager retains keys to all offices within the building(s) because they routinely conduct after hours security and fire safety checks throughout the structure. In some cases, too, office cleaning is conducted after regular working hours and cleaning staff obtain office keys from building guard forces or from building managers in order to perform their cleaning work.

GAO security mandates the securing under lock and key of all sensitive unclassified information after regular working hours; each office is provided with suitable lockable containers to satisfy their requirement. Each GAO office is also required to periodically conduct after-hours inspections of their own and subordinate offices to ensure that all sensitive materials have been appropriately safeguarded. The results of these after-hours self-inspections are reviewed by GAO's own security staff during their own inspections of each GAO office.

We believe that GAO's offices are reasonably secure and that our security policies and procedures are adequate to maintain the integrity of information under GAO control.

GAO STUDY OF CONGRESSIONALLY APPOINTED COMMISSIONS

Question. Last year, during the first round of the base closures, I raised at this hearing the issue of whether GAO had considered studying the implications of Congress' increasing reliance on "independent commissions." Has GAO further considered such a study?

Response. While GAO has not undertaken a study of congressionally appointed commissions, we are willing to consider doing such a request. GAO will work with Congressman Lewis in developing the proper framework for initiating the requested job.

ANNUAL LISTING OF COMMITTEE DETAILEES

Mr. BOWSHER. Why don't we give you this, Mr. Lewis. This is a summary report that we issue each year: What it will show you is who was up here during the year, on what committees by name.

Mr. HAGENSTAD. Mr. Michel's staff has been concerned about this. I met with the Republican leader's staff. We are working with the minority counsels of all the committees in the House. We are sensitive to the statutory authority and we have to go through the committee process.

Mr. BOWSHER. We discussed this two or three years ago concerning Gramm-Rudman. I worry a great deal that we might get used to augment committee staff as a committee has to take some cuts, let's say, and then we become a body shop for the committee structure.

I think it is good; our people get good experience. We have been running between 100 and 120 people a year. As long as we can stay within that ball park, this is a very doable approach.

But, I think that the Congress, as somebody pointed out, has been very critical of the White House for getting detailees from other places and not exactly counting them.

I don't think we want to see the Congress fall into the same problem with large numbers of detailees that are on somebody else's payroll. That is another concern.

Mr. Lewis. Just one other question, if I can, Mr. Chairman.

Mr. Fazio. Please proceed.

Mr. Lewis. Last year I asked if GAO would consider doing a study relative to Congress' tendency from time to time to depend upon independent commissions for policy direction, policy decisions, specifically I was referring to the first go-round of the base closings.

Has GAO considered such a study? Is it feasible that that might be helpful to our future considerations?

Mr. Bowsher. I think it might be. Let us reconsider it.

Mr. Lewis. If you could do that.

Mr. Bowsher. It might be good to have a request. Why don't we come back and work with you.

Mr. Lewis. Fine.

Thank you, Mr. Chairman.

IMPACT OF SEQUESTRATION

Mr. Fazio. I just have questions remaining, some of which I will place in the record.

How did you allocate the $6.6 million reduction made necessary by the across-the-board cuts for both the drug bill as well as the sequestration?

Mr. Bowsher. $1.4 million was mostly reduced from our budget for travel. $3.6 million was taken from the building renovation program. $1.6 million was in staff positions, which I am hoping to restore.

Mr. Fazio. You left those positions vacant? You didn't fill them?

Mr. Bowsher. That is correct.

Mr. Fazio. You are asking to restore funds for 38 positions that we authorized to fund but were lost through your absorption of the January 3.6 percent COLA.

You are also asking for 100 new staff years, which means you will get 200 people as an authorized level. With respect to the 38 positions, though, why did you chose to apply the absorption to the staff levels?

Mr. Bowsher. We had three choices basically. It was either people, the items that make people efficient, like training and travel, or our modernization program. Not knowing whether the sequestering technique would be used in future years, we thought it was better to keep our operation working efficiently, and go down a few people and to take the delay in the modernization of the GAO building. We believe this is the best way to do it and keep GAO going at full throttle or near full throttle operationally.

If we get fiscal cuts in the future years, we will have to again address those three options.

Mr. Fazio. I won't be shocked if we are sequestered again this year. You might want to begin planning what you will do in that event.

Mr. Bowsher. We do appreciate very much your support and the committee's support to try to keep us in A-1 shape over these last few years, which I recognize have all been tough budget years.

Mr. Fazio. I will place some questions in the record at this point.

[The questions and responses follow:]

SEQUESTRATION AND DRUG WAR REDUCTIONS

Question. How did you allocate the $6.6 million reduction made necessary by the across-the-board reductions for sequestration and the drug war funding?

Response. In order to comply with the President's sequestration order and the across-the-board sequestration required to fund the federal war on drugs, GAO had to reduce its appropriation of $364,720,000 by $5,055,000 and $1,568,000, respectively. The Gramm-Rudman sequester was absorbed by reducing the amount of funding for GAO's facilities improvement program by $3.655 million and by reducing funding for travel and other miscellaneous accounts by $1.4 million. The war on drugs sequester was absorbed by not allocating the full number of staff years that the Congress had authorized and funded.

Question. How did those reductions affect your budget, and your ability to carry out your programs?

Response. The reductions to the fiscal year 1990 GAO Budget necessitated by the Gramm-Rudman and the drug sequesters will cause a delay in the facilities modernization of the GAO Headquarters Building as well as reductions in funding for staff and those goods and services acquired in support of GAO audit and evaluation work. Of particular concern is the reduction to staffing and travel necessitated by the sequesters. We will be required to continue to handle a growing congressional workload with reduced staffing and less travel funding.

Question. Specifically, how much of the $6.6 million was allocated to personnel compensation, and how much to non-personnel items?

Response. The war on drugs sequester of $1.6 million was absorbed by reducing the number of staff years funded by the Congress. The Gramm-Rudman sequester was taken from other miscellaneous accounts, over 95 percent of which are non-personnel compensation accounts.

Question. In circumstances such as this (which we do not necessarily endorse, by the way), why not take the entire reduction for non-personnel activities, even though that may create temporary hardship? Perhaps some contracts or other items could be stretched out instead of reducing your essential resource—staff years.

Response. In deciding how to apply budget reductions, we must ensure that we maintain a balance between our staff resources and the resources for travel and other goods and services essential to the staff in performing our audit and evaluation work. Funding available in fiscal year 1990 for travel and other goods and services was limited to begin with. Had we applied the total sequesters of non-staff resources, we would not have had funding sufficient to support the work of the staff. Thus, we would have had staff available to perform work but unable to do so due to lack of travel funding or time-sharing funding and so on.

ADDITIONAL STAFF AT GAO

Question. You are asking to restore funds for 38 positions that we actually authorized and funded but were lost due to your absorption of the January 1, 1990, 3.6% COLA. You also are asking for 100 new staff years. This will bring your authorized strength to 5,200. With respect to the 38, why did you choose to apply the absorption to staff levels?

Response. We used the funding for the 39 average positions to absorb the drug sequester and a small portion of the January 1990 cost of living increase. We did not have funding sufficient in travel and our other goods and services accounts to absorb the sequesters and the civilian pay raise and still support the audit and evaluation work, to be performed by GAO staff.

Question. What does the COLA cost? How much are you asking to restore the 38 positions?

Response. The January 1990 cost of living adjustment (COLA) authorized by Executive Order 12698, December 23, 1989, provides for a 3.5 percent across-the-board pay increase beginning on the first day of the applicable pay period on or after January 1, 1990. For GAO, the applicable first day is January 14, 1990. The estimated cost of the COLA to GAO is $7.2 million in salaries and benefits.

To restore the 38 average positions lost due to absorption of the war on drugs sequester and the 1990 pay raise, GAO is requesting $1,773,000.

Question. The bill full funded the 5,100 staff years (before sequestration and absorption is factored out). Prudent budget management would prohibit fully expending these funds anyway. What portion of the full funding would have been unspent on compensation anyway?

Response. Over the last several year our congressional request workload has increased dramatically while GAO staff size has not changed. We have implemented a number of initiatives to increase our efficiency in an effort to continue to handle our growing workload. We now have a National Recruitment Program through which we recruit and bring new staff on board at scheduled times during the year. This program combined with an automated staff planning system has allowed the agency to do a much better job of fully utilizing approved staffing levels. For example, in fiscal year 1989 Congress funded 5,062 average positions and we utilized 5,061 average positions. Thus, for fiscal year 1990 we expect to fully utilize the average positions that are funded. If we underrun it should only be by one or two average positions which would equate to $45,000 to $90,000.

Question. How did you allocate the 38 staff year reduction? To which offices?

Response. Staff years planned for use for financial Integrity Act work were reduced. The reduction was applied across the board to the General Government Division, Human Resources Division, National Security and International Affairs Division, Resources, Community and Economic Development Division and the Information Management and Technology Division.

Question. Are you using contractor consultation funds to lessen the effect of the absorption?

Response. We did not increase funding for consultants as a way to lessen the effect of the reduction in average positions necessitated by the absorption of the sequesters. GAO continues to use consultants and other experts to assist in the indentification of major trends in the economy that should be addressed as part of ongoing assignments. Consultants advise on the technical content of draft reports to ensure the highest quality in GAO products. Consultants are also used to develop information needed on GAO products in areas of expertise where GAO is either lacking in the particular skill or time constraints do not permit the training of GAO's staff to handle the intricacies of the request.

Responding to a directive from the House Committee on Appropriations in the report to accompany the FY 1989 Legislative Branch Appropriations Bill, GAO is using contractors to collect data for several jobs in lieu of using its own staff to assess the effectiveness of this alternative to increases in staffing. The plan developed to implement this experiment has several key elements: involvement of all GAO program divisions and comparative evaluation of the in-house and contracted work of the same kind wherever possible. GAO is to provide to the committee an interim report by March 31, 1990.

SALARY RANGES OF NONPERMANENT EMPLOYEES

	Up to 6 months	6 to 12 months	More than 12 months
FISCAL YEAR 1988			
Consultants			
Daily rate:			
0 to $117	6	16	43
$118 to $210	2	6	60
$211 to $270	3	14	137
$271 to $278	6	16	61
Summer Hires			
Annual salary rate:			
$13,200 to $14,900	22	0	0
$15,000 to $19,000	33	0	0

SALARY RANGES OF NONPERMANENT EMPLOYEES—Continued

	Up to 6 months	6 to 12 months	More than 12 months
Other Temporaries			
Annual salary rate:			
$9,800 to 20,800	119	61	93
$20,900 to 26,800	4	3	10
$26,900 to 43,800	2	3	9
FISCAL YEAR 1989			
Consultants			
Daily rate:			
0 to $186	1	10	78
$187 to $239	4	3	26
$240 to $279	0	3	112
$280 to $285	7	7	42
Summer Hires			
Annual salary rate:			
$12,500 to $16,000	38	0	0
$17,000 to $19,500	46	0	0
Other Temporaries			
Annual salary rate:			
$10,800 to $29,800	91	31	46
$29,900 to $48,800	6	0	1
$48,900 to $73,500	1	2	0

Question. For the record, update the non-permanent staff data and the salary on pages 846–847 of the FY 1989 hearings.

Response.

DURATION OF NONPERMANENT GAO EMPLOYMENT

Type of employee on rolls	Fiscal year—	
	1988	1989
Expert/consultant:		
Up to 6 months	17	12
6 to 12 months	52	23
More than 12 months	301	258
Summer hire:		
Up to 6 months	55	84
6 to 12 months	0	0
More than 12 months	0	0
Other temporaries:		
Up to 6 months	125	98
6 to 12 months	67	33
More than 12 months	112	47

EXECUTIVE PAY RAISE IN 1991

Mr. Fazio. Have you anticipated in this budget the increased pay scales for your top level people?

Mr. Bowsher. Yes.

Mr. Fazio. It is all factored in?

Mr. Bowsher. Yes.

[The questions and responses follow:]

OTHER STAFF COST INCREASES

Question. There is $2.8 million ($2,831,000) for an "executive pay raise". Explain that.

Response. Section 703, Salary Levels of Senior Government Officials, of the Ethics Reform Act of 1989 directs that the salaries of executives in the three branches of the federal government shall be raised by 25 percent beginning on the first day of the first applicable pay period that begins on or after January 1, 1991. This section of the law applies in GAO to the Comptroller General, the Deputy Comptroller General, the General Counsel, and members of GAO's senior executive service.

Question. How many ES (Executive Schedule) types are there at GAO? What is their highest grade/salary (i.e. equivalent GS or SES grade)?

Response. The Comptroller General of the United States, the Deputy Comptroller General, and the General Counsel are, by law, paid at amounts equivalent to Levels II, III, and IV of the Executive Schedule, respectively. Members of GAO's senior executive service are paid at eight different levels ranging from ES–1, which is equal to the amount paid to an SES 1 in the Senior Executive Service of the executive branch, up to ES–8, which is equivalent to Level IV of the Executive Schedule. At present, in addition to the Comptroller General, there are 144 executives in GAO.

Question. Provide an analysis of current and projected salaries by ES grade level, vis-a-vis this executive raise.

Response. The effect of this raise on the salary of the Comptroller General will be an increase from $96,600 in 1990 to $120,800 in 1991. The Deputy Comptroller General position, which is currently vacant, rises from $89,000 to $111,300. The General Counsel and other GAO executives at the ES–8 level rise from $83,600 to $104,500. Executives at ES–1 rise from $71,000 to $84,000, in accordance with SES pay rates published by the Office of Personnel Management. While GAO has not officially determined what it will pay to the intervening levels of its executive schedule, an estimate of the impact of this raise was developed on the assumption that one of the effects of this raise would be a reduced rate of attrition among executives and that this reduction would force use of a reserve of unfilled positions in order to meet management goals for the agency. The following chart shows how this raise was estimated.

GAO ES level	Fiscal year 1990 salaries	Estimated fiscal year 1991 salaries
1	$284,800	$336,000
2	687,600	818,100
3	2,744,000	3,293,500
4	4,134,000	5,002,400
5	1,529,500	1,865,800
6	896,500	1,102,200
7	82,600	102,400
8	1,086,800	1,358,500
Comptroller General	96,600	120,800
Deputy Comptroller General	89,000	111,300
Other SES	483,000	589,200
PAB General Counsel	78,200	84,570
Total	12,192,600	14,784,770

PAY FOR PERFORMANCE BONUSES

Mr. FAZIO. Let's talk about pay-for-performance. Hopefully, it is a precursor for other elements of the Federal Government to follow at some point.

You have had about a year's experience thus far. Currently, how many people are included under the system?

Mr. BOWSHER. All of our professional people. We are working now to try to get our administrative people and our support people, such as graphics people under it. The lawyers are covered.

Mr. FAZIO. Which GS levels are included?

Mr. Goldstein. All of our evaluators and evaluator-related specialists at all GS levels are covered by pay-for-performance.

Mr. Fazio. They start with the system?

Mr. Bowsher. That is right.

Mr. Fazio. This system will encompass positions that are not in GS grades, though? Some of these positions you are talking about wouldn't be graded?

Ms. McCabe. About 70 percent of the agency is under this PFP, non-GS system. It includes all of our evaluators and all of our attorneys. The other 30 percent that aren't in the system yet are our secretarial and clerical personnel and others who are doing nonevaluator and nonattorney work. They would be at all grades.

Mr. Fazio. You would be bringing them in at some point?

Ms. McCabe. Yes.

Mr. Goldstein. This budget for 1991 requests the first year of pay-for-performance funding for the nonevaluators.

Mr. Fazio. I see. Tell us a little bit about what experience has shown you so far. Are you encouraged? Is it tougher to do than you thought?

Mr. Bowsher. I don't think it is tougher than what we expected. I think if I had some of my management people here, they would say it was tougher than they expected.

It means you have to sit down with everybody, and discuss how well they did. The fact that staff didn't get a bonus or did get a bonus makes it very real.

We cut the bonus off at the 50 percent level. We are not quite sure that was the right place after we reviewed the results. Some of the people who didn't get a bonus felt bad that they were viewed as not in the top 50 percent.

Mr. Fazio. This is sort of like grading on a curve?

Mr. Bowsher. That is right. We also tried to point out to people that it is how you do over a number of years that is really going to tell. I think some people are quite disappointed. At the same time, I think that is the kind of honest appraisal that you have to provide.

Mr. Fazio Yes. It hurts sometimes.

Mr. Bowsher. Over the next few years, it is going to take away some of the illusions that some people had that they were doing good work and other people knew they weren't. They are going to know through this process, and I think some of them are going to respond and come right up. Others might want to think of leaving GAO and going someplace else, and that is not all bad either.

It is a system worth trying in an organization like GAO. I think there might be other parts of government that might want to try it after they see how well we do. Not that we won't have some problems. We have some grievances. I expect you will even hear from some of our people each summer as we go through this process.

I think it is going to be a very healthy system for GAO and maybe could be for some other parts of the government.

Mr. Fazio. Do you think it is more costly than the old longevity award program?

Mr. Bowsher. Yes. We pointed out at the time we went into it that we were willing to bear that cost and support that cost. We estimate it will cost about $4 million more a year.

Mr. Fazio. Do you see an increase annually in this area?

Mr. Bowsher. Not of that magnitude. I think it is more of a one-time increase.

Mr. Fazio. I have a question for the record on pay-for-performance.

[The question and response follows:]

Pay for Performance

Question. Update the pay-for-performance data on pages 248–251 of 1990 hearings. Please try to simplify the data presentation so that it yields a good comparison between the alternative pay systems; include totals where applicable.

Response. GAO implemented the initial phases of its Pay-for-Performance (PFP) system with bonus payments at the end of fiscal year 1989 to evaluators, evaluator-related specialists, and attorneys who were judged to be in the upper half in performance excellence during the year and the conversion of these three groupings of employees into three broad bands in October 1989. In fiscal year 1991 all PFP employees will receive pay progression within their bands. Pay progression was designed to replace the in-grade increases that are paid to employees in General Schedule (GS) positions. The amounts paid will vary dependent upon how an individual's performance is judged. Those with highest ratings will get the top rate of increase, etc.

BOC description	Without PFP	Change	With PFP
Fiscal year 1990:			
11.1 Personnel compensation	$223,979,000	$1,021,000	$225,000,000
11.5 Other personnel compensation	1,901,000	1,960,000	3,361,000
Fiscal year 1991:			
11.1 Personnel compensation	248,341,000	1,800,000	250,141,000
11.5 Other personnel compensation	2,613,000	1,960,000	4,573,000

In addition to the funds needed to meet our budgetary requirements for the pay-for-performance plan, the fiscal year 1991 estimate for Other Personnel Compensation includes $608,000 for the incremental cost of extending PFP-type bonuses to GAO's administrative professional and support staff.

During FY 1989, half of GAO's evaluators, evaluator-related specialists and attorneys received PFP bonuses ranging from $700 to $4,000. The employees ranked in the top 15 percent received bonuses averaging 6 percent of the base salary of each band. Employees ranked in the next 35 percent received bonuses averaging 3 percent of the band base. For FY 1990, we are modifying the top group to pay bonuses up to 20 percent of eligible employees and the next group to 30 percent. The following chart shows the ranges of bonuses that will be paid in FY 1990.

	Formerly	Top 20 percent	Next 30 percent
Band I	GS–12	$1,800 to $2,550	$750 to $1,450
Band II	GS–13 and 14	$2,150 to $3,000	$900 to $1,750
Band III	GS–15	$3,000 to $4,200	$1,200 to $2,400

Under the former recognition program, the top 15 percent of each unit's employees could receive awards of $500 to $1,500 for outstanding achievement.

The payment of cost of living increases are being made under PFP in the same manner as is used for GS employees. In the General Schedule, employees receive ingrade increases at 1-, 2-, and 3-year intervals. PFP employees received credit for the portion of GS ingrade increases earned at the point of conversion in October 1989 to the 3 broad bands. Replacing ingrade increases under PFP is pay progression which provides annual within band increases ranging from 0 to 6 percent depending on how a PFP participant is ranked and his/her current level of annual salary. Those with outstanding performance would receive the highest increase versus those who are deemed to be doing satisfactory work would receive a lower increase. The following charts show the effect of these changes for selected positions in fiscal year 1991.

Comparison of Broad Band and General Schedule Employees

EMPLOYEES IN THE PAY FOR PERFORMANCE SYSTEM [PFP]

PFP band	Formerly	Annual salary	Average bonus top 20 percent of unit	Average bonus next 30 percent of unit	Average incentive award	Pay progression top 15 percent of unit	Pay progression next 70 percent of unit	Total PFP income	
								Top group of unit	Next group of unit
I	GS-12/2	$37,019	2,154	$1,077		$2,154	$1,257	$41,327	$39,353
II	GS-13/3	45,441	2,562	1,281		2,562	1,495	50,565	48,217
II	GS-14/5	57,054	2,562	1,281		1,921	854	61,537	59,189
III	GS-15/4	65,138	3,558	1,779		3,558	2,076	72,254	68,993

EMPLOYEES IN THE GENERAL SCHEDULE SYSTEM [GS]

Current grade/step	PFP band	Value of next WIG	GS annual salary	Average bonus in—		Average incentive award to 15 percent of unit	Total GS income	
				Top 20 percent of unit	Next 30 percent of unit		Top group of unit	Next group of unit
GS-12/2	N/A	$1,194	$37,019			$1,000	$39,213	$38,213
GS-13/3	N/A	1,420	45,441			1,000	47,861	46,861
GS-14/5	N/A	1,678	57,054			1,000	59,732	58,732
GS-15/4	N/A	1,974	65,138			1,000	68,112	67,112

SUMMARY—COMPARISON OF BROAD BAND [PFP] WITH GENERAL SCHEDULE [GS] EMPLOYEES

PFP band	Current GS grade/step	Total PFP income top group of unit	Average change	Total GS income top group of unit	Total PFP income next ground of unit	Average change	Total GS income next group of unit
I	GS-12/2	$41,327	$2,114	$39,213	$39,353	$1,140	$38,213
II	GS-13/3	50,565	2,704	47,861	48,217	1,356	46,861
II	GS-14/5	61,537	1,805	59,732	59,189	457	58,732
III	GS-15/4	72,254	4,142	68,112	68,993	1,881	67,112

LEGISLATIVE BRANCH TELECOMMUNICATIONS

Mr. Fazio. Two other things, one of which relates to our committee concern about working with the legislative branch agencies on the telecommunications network. We have had George White's panel coordinating this work. I have said this in his presence, so I can say it again.

We have been trying to drive the agencies to work together on this. I know there have been some concerns at GAO at the staff level and I think at GPO as well. We think it is essential that the agencies be involved together.

Is there an ongoing impediment here? Do you think you are over the point of opposition?

Mr. Bowsher. I think I can give a more favorable report this year.

Mr. Fazio. Good. This is your opportunity.

Mr. Bowsher. Last year I told you we were the junior partner of this partnership. We have moved up to more of an equal partner. I think the progress has been more to our liking this past year. We are getting more comfortable with the overall program.

Ira, here, is the person that I look to to handle this. I think he can expand on it a little more.

POTENTIAL OBSTACLES

Mr. FAZIO. Tell us about any legal obstacles that you may have encountered or any technical problems that you have seen as insurmountable.

Mr. GOLDSTEIN. We are unaware of any legal obstacles in front of us. We have, in fact, already taken steps to participate in the legislative branch network through the Architect of the Capitol and his contract with the long distance vendor, and we are now in the process of converting GAO's long distance service here in headquarters.

We expect to convert the majority of our people to the long distance service by mid-February, and will have the rest of the headquarters people converted by mid-March. We expect to convert our regional offices to the legislative network in the March-May time frame.

On the local voice side of the ledger, we also have just recently delivered our draft needs plan to the Architect. We will be meeting with the Architect's people in the next few weeks to discuss our plan.

We have included in our request funding of about $5.3 million for the purchase of a modern digital voice switch, which would tie us further into the legislative network. We are already in agreement with the Architect that we will enter into what I would call a limited competition under the authority of the Architect's legislative branch telecommunications responsibility, which is appropriate in this case.

The impediment on the local voice side would simply be the ability to get funding for that switch. There are negotiations that still have to occur between the Architect, the two vendors that are part of the Architect's legislative branch plan, and ourselves. We hope to see an RFP out on the street within the next few months. We expect a contract and conversion to the new system in the not-too-distant future.

SHARED RESOURCE PILOT PROJECT

Mr. FAZIO. That is great. I feel somewhat the way Mrs. Boggs felt in hearing your comments on women and minorities. That is great progress. We appreciate the level of cooperation.

My last item is really a reflection of some work that the investigative staff of the Appropriations Committee did in furtherance of the progress on the shared resources pilot project, which is a major initiative of yours.

The report that you submitted on December 29, 1989, reflects certain deficiencies including the lack of a management test plan with stated objectives, scheduled time frames and criteria for selecting applications for testing, and the absence of an evaluation plan to evaluate the impact of ADP technology using specific performance criteria as directed by the 1990 Legislative Appropriations Act.

Can you give us an update on the shared resources pilot project?

Mr. BOWSHER. That is the first I have heard of that investigative staff report.

Mr. GOLDSTEIN. The investigative staff that we have been dealing with received reports from us in December as well as earlier in the year.

Mr. FAZIO. When we received your December 29, 1989 report, we asked the S&I staff for an evaluation which they provided on January 26, 1990.

Mr. GOLDSTEIN. I am not aware of the evaluation that you have in front of you.

Mr. FAZIO. It is only about a month old, and it is their evaluation of your last initiative.

Why don't you submit the information for insertion in the record. We are looking for a constructive cooperation here. Let's place it in the record.

[The information follows:]

UPDATE ON THE SHARED-RESOURCE PILOT

On December 29, 1989, GAO submitted to the Legislative Subcommittee a status report on the Shared-Resources Pilot. In that report we stated that the pilot has been primarily focused on establishing the local/wide area network functions necessary to support the development of applications to automate or facilitate GAO's work. Further, we reported that our FY 1990 pilot objectives would focus on two critical areas of continuing importance to GAO—job timeliness and job quality. Within that framework, we planned to develop specific network applications for automated/electronic workpapers, report referencing and indexing, and report review and processing.

We have made significant progress since that status report was released. The network is operating, and the three participating units in the pilot have selected specific job assignments to serve as the vehicle for application development. One assignment is now underway and others will be initiated over the next several weeks. By early March 1990 we will have completed an evaluation plan detailing the assignments selected for application development, our test objectives for each assignment, and the evaluation criteria for each assignment.

NUCLEAR WASTE DISPOSAL

Mr. FAZIO. Unless there are other questions——

Mrs. BOGGS. Mr. Chairman, may I ask one thing that relates to another committee responsibility that I have?

Mr. FAZIO. Mrs. Boggs.

Mrs. BOGGS. Do you feel that Admiral Watkins is being helpful in the general oversight of the nuclear waste disposal?

Mr. BOWSHER. I do. I think Admiral Watkins is struggling with a difficult problem. Our people who work in that area think he is most capable and making more progress than anybody else who has held that job, especially in that area.

Mrs. BOGGS. Thank you.

Mr. FAZIO. Could I pick up on that?

Mrs. Boggs and I sit on the same subcommittee, Energy and Water. I must say the oversight function in that area, obviously, did not perform well. Our committee can't really say that it performed well.

I am wondering how does GAO feel about this burgeoning problem in the nuclear production facilities? Were you aware of it? Were you telling people about it and no one was listening?

My sense is the DOE management didn't know what the DOE rank and file knew.

Mr. **Bowsher**. We issued 60 products in the 1980s on this area. I don't think until we issued the one report that said it was——

Mr. **Fazio**. The Senator Glenn request?

Mr. **Bowsher**. Yes—when we said it would cost over $100 billion to modernize and clean up that situation, we finally got the attention of everybody.

Mr. **Fazio**. Sometimes I think of the cartoon with the little bird down in the corner as the GAO.

Mr. **Bowsher**. I think on the S&L crisis and on the nuclear weapons plants, it was unfortunate that we weren't able to get people's attention because we were issuing the reports but we weren't getting the attention.

Of course, in both cases, you had people on the other side saying it isn't that big of a problem. In the S&L industry, it was the industry itself and Danny Wall saying that GAO is being overly pessimistic.

In this case, it was the Department of Energy. I think Herrington, the last secretary of Energy, finally realized as he was getting towards the end of his tenure that these problems were huge because GAO and other outside people were saying how bad it was at the Savannah River and Rocky Flats plants.

But, it is unfortunate that these problems continue to build.

Mr. **Fazio**. There has to be a way where you simply through the force of your office——

FINANCIAL INTEGRITY ISSUES

Mr. **Bowsher**. The oversight process is the one that has got to be strengthened.

Mr. **Fazio**. I agree.

Mr. **Bowsher**. What I plan to do this year, working with my good friend Tom Hagenstad over here, is meet with the oversight committees to give them our view on how oversight could be strengthened.

An annual report from the heads of these departments is essential to address the major problems. You need a financial audit, and you need to know what are the major problems that the IG has identified, what are the major control problems in implementing the Financial Integrity Act, and what progress is being made on resolving them.

That is the kind of reporting that you have got to have to bring these issues up to real discussion.

Mr. **Fazio**. Well, I have had several conversations with Madeline Albright who has taken over the Center for National Policy. I am urging that they, as one of the outside think tanks that impacts the Congress, make oversight one of its major concerns.

Would you be willing to work with them as they evaluate the breakdown of the process? We are all culpable. It needs more attention. Regardless of political philosophies, these are terribly destructive occurrences, not just in the agencies directly involved, but in terms of the entire process of government.

Mr. **Bowsher**. If I could make one more point to illustrate the situation at HUD and with the S&L's.

Senator Proxmire was a very hard working Senator, who held many committee hearings. But without focusing on an overview of the departments and just concentrating instead on individual problems, you don't surface the toughest issues and the biggest problems.

Mr. **Fazio**. Exactly. There was an example of a microview where the ultimate Golden Fleece Award was never cited.

was never cited.

Mr. **Bowsher**. That is exactly right.

Mr. **Fazio**. I am sure the Senator is agonizing over that in his retirement.

Mrs. **Boggs**. Mr. Lewis and I had similar experiences on the HUD and Independent Agencies Subcommittee with the Federal Home Loan Bank Board. We kept asking if the problem wasn't much bigger, if the cost wasn't much more, wasn't escalating at a very rapid rate and all these things. They kept patting us on the head and saying "not to worry."

Mr. **Lewis**. Back then we should have been asking for a comprehensive study.

Mr. **Fazio**. Thank you very much, Mr. Bowsher. We had a good hearing this morning.

I thank my colleagues for participating.

afternoon at 1:30.

Thank you all. I will place the remaining questions in the record.

[The questions and responses follow:]

Price Level Changes

Question. You request an increase of $5.8 million in price level changes. This is for office space rental increases, travel increases, and other increases in price such as printing, training and so forth. How much of this increase is based on actual, know increases and how much on budgetary assumptions?

Response. Of the $5.8 million in price level changes, $4.1 million is based on actual, known increases and $1.7 million is based on budgetary assumptions.

Question. Supply a table for the record detailing current costs, known increases, and provisions for contingencies.

Response.

PRICE LEVEL CHANGES

[In dollars]

Item	Fiscal year 1990	Increases	Known increases	Total price level increases	1991 current services estimate
Travel	17,659,000	727,000	798,000	1,525,000	19,184,000
Transportation of things	515,000	52,000		52,000	567,000
Office space rental	14,410,000	1,575,000		1,575,000	15,985,000
Rent, communications, and utilities	6,409,000	290,000	87,000	377,000	6,786,000
Federal Telecommunications Service	1,707,000	15,000		15,000	1,722,000
Printing and reproduction	3,478,000	244,000		244,000	3,72,000
Training	2,714,000	40,000	95,000	135,000	2,849,000
Foreign affairs administrtive support	850,000	85,000		85,000	935,000
Contract services	26,491,000	513,000	246,000	759,000	27,250,000
Miscellaneous other services	3,395,000	117,000	77,000	194,000	3,589,000
Supplies and materials	2,226,000	65,000	47,000	112,000	2,338,000
Furniture and equipment	5,565,000	89,200	133,800	223,000	5,788,000
Land and structures	5,340,000	320,000	130,000	450,000	5,790,000

PRICE LEVEL CHANGES—Continued

[In dollars]

Item	Fiscal year 1990	Increases	Known increases	Total price level increases	1991 current services estimate
Insurance claims and indemnities	40,000	15,000		15,000	55,000
Total	90,799,000	4,147,200	1,613,800	5,761,000	96,560,000

Question. For the record, update the travel data on page 268 of last year's hearing.

Response.

DAYS IN TRAVEL STATUS

Year	Days	Evaluators	Days per evaluator
1985	97,326	3,703	26
1986	80,843	3,718	22
1987	103,478	3,815	27
1988	118,431	3,761	31
1989	122,527	3,748	33
1990 estimate	116,055	3,810	30
1991 estimate	132,986	3,890	34

GAO TEMPORARY DUTY AND LOCAL TRAVEL EXPENDITURES

[In millions of dollars]

	Total	Projects	Training	Other
Fiscal year:				
1989	16.7	15.8	0.5	0.4
1988	15.5	13.7	.8	1.0
1987	14.9	12.8	.9	1.2
1986	12.5	11.8	.2	.5

Question. For travel, you are requesting $1.5 million additional for price level changes, and $2.3 million for workload enhancement. We realize travel is an essential requirement for your mission activities. How much of an increase in average travel days will these funds provide?

Response. The change of $4,239,000 provides, $1,525,000 attributable to inflation. Based on the latest statistics of costs in many of the cities we travel to, we know that there will be a definite rise in the number of high cost cities as well as increases in per diem for existing high cost cities. Also, air and rail fares will continue to change. The requested increase in average positions accounts for $438,000 of the change. The balance of the change, $2,276,000 represents an increase of 14,195 days or about 4 days of travel per evaluator.

Having adequate funds for travel is critical for GAO to perform its work. GAO management initiatives emphasize work planning and quality assurance and stress the requirement for and importance of travel by headquarters project and job leaders during the planning and other significant stages of job assignments to the locations that are more suited to expedite completion of the assignments.

Question. Some of these funds are for more supervisory travel. How much? Justify the additional "supervisory" travel.

Response. Of the $2.3 million dollar workload increase requested for travel, $774,000 will be used to increase supervisory travel in connection with our audit and evaluation work. About half of the increase is required to restore supervisory travel to the pre-sequester level—fiscal year 1989 level. The balance of the increase will permit more supervisory travel in support of GAO work. Supervisory travel is essential to the timely completion of quality products.

Lack of sufficient travel translates into (1) limited supervisory attendance at key assignment meetings and (2) reduced number of visits to the worksite. As a result, the supervisor needs to spend more time at the end of the job reviewing the assignment results, prior to product completion, to assure compliance with GAO quality standards instead of being able to identify and correct problems as the job progresses through more frequent field visits and thus shorten the report processing and product completion time.

Question. Your budget indicates this travel will "ensure the work is being done properly" and "will speed up . . . the audit work". Can you give us any instances where GAO work was not done properly because of lack of supervisory travel?

Response. There are many instances where lack of sufficient travel funds results in the inability to send supervisors out to the job sites to oversee and direct the work and the drafting of the report. As a result, when the team sends the first draft in for supervisory review, the review may take longer and result in a number of revisions and possibly require further work on the part of the audit team. As an example, an Assistant Director was unable to travel to Europe to help draft a report on the use and consumption of American coal in Defense facilities in Germany due to a shortage of travel funds. Had he been able to do so, the number of revisions to the draft could have been minimized and an estimated 4 to 6 weeks of report processing time would have been saved.

Question. How much will this work be "speeded up"? Can any of this be documented?—the reduced time; the improved quality? If so, supply the record.

Response. While we are unable to quantify the amount of time, on average, we can save by increasing supervisory travel, we can say that, as a general rule, active participation by the supervisor as the work is being performed does result in faster issuance of quality products. Supervisory travel ensures that the audit team(s) fully understand the assignment, the approach and the reporting objectives. As far as report quality, GAO does not issue reports unless they adhere to the established standards of quality. Lack of direct supervisory involvement as the work is being done sometimes delays issuance of the final product because when the supervisor receives the draft product, he/she determines that the product does not meet the quality standards.

An example of how supervisory involvement results in the timely production of quality work is evident on a recent assignment dealing with the adequacy of internal controls over material furnished to Navy contractors. Frequent supervisory trips helped a relatively inexperienced audit team readily identify deficiencies in the property management area. We estimate that supervisory involvement resulted in report issuance 4 to 8 weeks earlier than anticipated. As another example, an Assistant Director traveled to the job site to review the results of the work done by the audit team and to prepare the report outline for the team. His visit assured that the first draft would discuss and focus on the issues the requestor was interested in. The quality of the work was evident when the draft product was submitted for final processing. The supervisor's involvement in the work and in production of the first draft assured that the report would go through the final processing stages more quickly than if he had not been involved.

OTHER PROGRAM ENHANCEMENTS

Question. There is a $2.9 million ($2,908,000) increase for contract services for ADP, telecommunications, security investigations, etc. What is the base budget here?

Response. The base budget for computer and other ADP services, telecommunications services, security investigations, facility operations, and other contract services is $26,491,000.

EQUIPMENT, ALTERATIONS, ETC.

Question. There is $13 million ($12,998,000) for furniture and equipment. What is this year's level? Is this $13 million over and above that level?

Response. The $12,998,000 for furniture and equipment represents an increase over the fiscal year 1990 level of $5,565,000. In fiscal year 1991, we need funding for some major capital investments to support continued progress in implementing our Information Resources Management Plan and modernizing the GAO Headquarters Building subsequent to asbestos removal.

Question. What are the components of this? Explain the $13 million increase.

Response. The major components of the $12,998,000 "Equipment, Alterations" increase are (1) $5,310,000 for a local digital telephone system for the headquarters building, (2) $1,511,000 for the purchase of additional microcomputers to replace 380 antiquated machines and to bring the inventory up to 4,300 machines, (3) $2,750,000 to purchase standard software for the additional microcomputers and to acquire upgrades to existing software and purchase software to address special needs, and (4) $2,996,000 for the purchase of systems furniture as part of the headquarters' modernization program. The balance of the increase $264,000 will permit the purchase of Data Base Management Software (DBMS) for the Shared Resources Pilot Project and copy scanners for use by GAO evaluators to convert hard copy data into computerized data which can be manipulated with standard microcomputer software.

Question. The $7 million ($7,017,000) for land and structure—is that primarily for the building modernization project?

Response. The $7 million "equipment, alterations" increase for land and structures will permit continuation of asbestos removal and the subsequent modernization of office space in the GAO Headquarters Building.

Question. How much is in the FY 91 plan for this project? Explain the FY 90 and FY 91 phase of this project, assuming the 1991 funds are appropriated.

Response. We have included a total of $25,481,300 in the fiscal year 1991 appropriation request for operation and maintenance of the GAO Building and the building modernization project. The amount of funding requested is about the same as what we would have paid to the General Services Administration in rent for fiscal year 1991 plus the funding in the Special Receipts Account that is paid to GAO by agencies occupying space in the building. During fiscal year 1990 we are funding the completion of asbestos removal and modernization of one floor of the GAO Building. Funding requested for fiscal year 1991, if approved, would permit the completion of the equivalent of one more floor in the main building as well as the next phase of the upgrading of the Mechanical Plant.

Question. For the record, outline the annual progress to date on the modernization project, FY 90 and FY 91 plans, and the requirements for the out years until completion. A tabular presentation would be helpful.

Response. Under GAO's modernization program many projects have been accomplished. These projects include removing asbestos from the 1st, 7th, and part of the 2nd floors, awarding a building management contract, developing a prospectus for complete renovation of the GAO Building, modernizing 7 east, completing the fitness center, and developing a stacking plan/interior design concept for the GAO Building. As leases have expired in our regional offices and we are faced with a forced move to another location, we are providing the same type of modern environment for our regional staff as is being provided to our headquarters staff. Consequently, renovation work has been completed in the regional offices of Boston, Philadelphia, Kansas City, Dallas, Cincinnati, and Denver.

FISCAL YEAR 1990

Due to P.L. 101-239 reductions, funding for the modernization renovation pogram has been reduced in FY 1990, thus deferring to a future year some work that was originally planned for FY 1990. The FY 1990 funding is planned for use on the following projects: First Floor Renovation; Daycare Center, Mechanical Plant—HVAC Upgrade Phase.

FISCAL YEAR 1991

The FY 1991 request of $25.5 million is necessary to complete asbestos removal and restoration of one floor of the GAO Building. Also, included in the request are funds to continue the upgrading of the mechanical plant in the GAO Building.

FISCAL YEAR 1992

The FY 1992 request for the facilities program will be approximately $29.5 million. The estimate provides for asbestos removal and restoration of one floor in the GAO Building, further upgrades to the mechanical plant, and minor modification requirements at GAO's audit sites and regional offices.

FISCAL YEAR 1993 THROUGH 1995

The fiscal years 1993 through 1995 requests for the facilities program are estimated at $24.6 million, $28.7 million, and $26.2 million, respectively. These estimates will permit further asbestos removal and restoration of one floor of the GAO Building each year. Also, the estimates include funds to complete most of the modification requirements to the building mechanical systems and funds to complete the modernization one regional office each year.

[Dollars in millions]

1990	$15.5
1991	25.5
1992	29.5
1993	24.6
1994	28.7
1995	26.2

WEDNESDAY, JANUARY 31, 1990.

OFFICE OF TECHNOLOGY ASSESSMENT

WITNESSES

HON. EDWARD M. KENNEDY, A U.S. SENATOR FROM THE STATE OF MASSACHUSETTS; AND CHAIRMAN, TECHNOLOGY ASSESSMENT BOARD

HON. CLARENCE E. MILLER, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF OHIO; AND VICE CHAIRMAN, TECHNOLOGY ASSESSMENT BOARD

HON. MORRIS K. UDALL, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF ARIZONA; AND MEMBER, TECHNOLOGY ASSESSMENT BOARD

HON. JOHN D. DINGELL, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF MICHIGAN; AND MEMBER, TECHNOLOGY ASSESSMENT BOARD

HON. GEORGE E. BROWN, JR., A REPRESENTATIVE IN CONGRESS FROM THE STATE OF CALIFORNIA; AND MEMBER, TECHNOLOGY ASSESSMENT BOARD

HON. DON SUNDQUIST, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF TENNESSEE; AND MEMBER, TECHNOLOGY ASSESSMENT BOARD

HON. AMO HOUGHTON, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF NEW YORK; AND MEMBER, TECHNOLOGY ASSESSMENT BOARD

JOHN H. GIBBONS, DIRECTOR

ACCOMPANIED BY

LIONEL S. JOHNS, ASSISTANT DIRECTOR FOR ENERGY, MATERIALS, AND INTERNATIONAL SECURITY

ROGER HERDMAN, ASSISTANT DIRECTOR FOR HEALTH AND LIFE SCIENCES

JOHN ANDELIN, ASSISTANT DIRECTOR FOR SCIENCE, INFORMATION, AND NATURAL RESOURCES

VIRGINIA McKERNAN, BUDGET AND FINANCE OFFICER

THOMAS P. McGURN, ADMINISTRATIVE OFFICER

HOLLY L. GWIN, GENERAL COUNSEL

Mr. LEWIS [presiding]. The subcommittee will come to order. Chairman Fazio has an inforeseen appointment so, this may be the first experience anybody in this room will have with a Republican chairing the subcommittee.

Now, Mrs. Boggs is here to take over. In this afternoon's hearing, we will consider the budget for the fiscal year 1991 for the Office of Technology Assessment. Senator Ted Kennedy, the Chairman of the Technology Assessment Board, is with us, as well as the Vice Chairman, Congressman Clarence Miller and most of the Members of the Board.

With this kind of attendance, you must have a very significant increase in your budget.

Mr. MILLER. Five-fold.

Mr. **Lewis**. We would like to welcome also John Gibbons, Director of OTA, who has been the Director since 1979.

The request totals $20,710,000. This is 13 percent more than the fiscal year 1990 appropriation after sequestration and other reductions are factored out. The staff limitation is requested to remain at 143.

Have you built into this budget the pay adjustment considerations?

Mr. **Gibbons**. Yes, sir.

Mr. **Lewis**. With that, I will call on Senator Kennedy. Senator, if you don't mind, I will hand the gavel to Mrs. Boggs of Louisiana.

Senator **Kennedy**. Thank you very much, Mr. Chairman.

STATEMENT BY SENATOR KENNEDY

We are glad to have the opportunity to appear before the Committee. Let me say at the outset, we have always been very grateful for the support that we have received from this committee in the past. We have always been able to have an informed hearing, and we have welcomed the interest of the Legislative Subcommittee in the work of OTA.

I would like to file my statement for the record, Madam Chairman. The statement refers to two very interesting studies and how the Congress has relied on them: One has been on the distance learning study, basically TV technology, and how we might bring the best into our schools in both rural areas and urban areas. The assessment looks at various technologies and how they impact on learning. We want to make sure if we are going to develop and utilize the distance learning concept that the various aspects of learning are not diminished.

The need for this is increasingly evident, particularly when we appreciate current shortages in math, science, and foreign language teachers. This can also be worked into private sector training programs. I think OTA's study has made an important and interesting contribution to how we can extend education without using more resources.

As a member of the Labor and Human Resources Committee, I think it is a useful study. I also mentioned the work that has been done in assessing polygraph technologies. The House and Senate took action two years ago. The request for the study was made by Senator Hatch and myself, and we were able to get bipartisan support for that legislation. I think it addresses one of the areas that has been the subject of considerable abuse to millions of workers in our society.

OTA'S WORK ON CLEAN AIR

I would like to mention how one of the more recent studies of OTA involving clean air is being utilized, both on the Floor of the United States Senate and also in our last two Democratic caucuses. Speaking as a member of my party, the references to OTA and reliance on OTA material has been uniformly accepted and commended.

In an area of public policy where there are many important national interests with regard to the automobile industries, there have been estimates in terms of cost and the impacts of various technologies. There have also been reports from the California State agencies about assessing the costs of various kinds of components in the battle on clean air.

More than EPA, more than the industries, including, the California studies that have had practical application, OTA has been the agency that is constantly referred to.

Not only has OTA achieved the recognition of excellence by the technical community and the major newspapers across this country, but it is being increasingly utilized by the Members of Congress in a way those of us who were involved in the fashioning and shaping in the early days had hoped.

I think it is a great tribute to Jack Gibbons and the excellent staff of OTA who have done an outstanding job. The demands on OTA, the reasons for it as we move into more and more of a technological and informational society, have increased significantly.

This modest budget increase, and it is an increase, was made with the support of the Board recognizing the particular budget constraints, but also recognizing the sizable demand of the Members of both Houses.

We hope we can gain favorable consideration. I thank the chairwoman for letting me make this presentation.

[The statement of Senator Kennedy follows:]

Statement of Senator Edward M. Kennedy, Chairman
Technology Assessment Board
Office of Technology Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, I appreciate this chance to appear before you today in support of the Fiscal Year 1991 budget request of the Office of Technology Assessment. As Chairman of the Technology Assessment Board, I want to take this opportunity to review with you OTA's work in two critical areas: education and polygraph testing.

In November OTA published a report, Linking for Learning: A New Course for Education, that was requested by the Senate Committee on Labor and Human Resources, which I chair. This study found that the concept of "distance learning" -- the linking of teachers and students in different locations with technology that allows live interactions -- can also be applied to improve training programs for teachers in rural and urban areas through satellite links between universities and schools. Without leaving their classrooms, students all over the United States can explore the ocean floor of the Mediterranean, practice speaking Japanese with a university professor in another state, read a formula off the blackboard in a school across town, or interview a famous scientist in her laboratory. Rapid developments in technology are creating distance delivery systems that are powerful, flexible, increasingly affordable, and continuously expanding the range of choices. These systems are the wave of the future of education reform. Distance learning can be just as effective as face-to-face instruction. It's an important new technique to improve education and reduce teacher shortages, especially in critical disciplines such as math, science, and foreign languages. Too many school districts still do not have access to this technology, and we must do more to make it available. It may be our most cost-effective answer for education reform. OTA has provided Congress with an important piece of research that should help us sort out the appropriate degree of federal involvement in expanding the Nation's commitment to the distance learning infrastructure.

Mr. Chairman, it is not only OTA's full assessment reports that can have a major impact on legislation. In 1983, OTA published a technical memorandum, Scientific Validity of Polygraph Testing: A Research Review and Evaluation, prepared at the request of the House Committee on Government Operations. The Committee turned to OTA for assistance because of the high degree of credibility OTA had developed within the criminal justice community (during the course of an assessment of computerized criminal history systems) and within the health sciences community for its reviews of the validity of scientific research. Though many non-scientific issues arise in the debate over polygraph testing -- utility, privacy, constitutionality, and ethics, for instance -- OTA limited itself in this special response to issues directly related to the scientific validity of the polygraph. The study discusses the various types of polygraph testing procedures and ways in which the polygraph is used, evaluates prior reviews of the scientific research on polygraph validity, and finally discusses the range of factors that may affect polygraph validity and the possibilities for future research. This impartial and thoroughly scientific approach contributed to a document that has had an amazing shelf-life. OTA concluded that the available research evidence does not establish the scientific validity of the polygraph test for personnel security screening. This conclusion, and the comprehensive analysis that supports it, was cited extensively in the debate that led to passage of the Employer Polygraph Protection Act of 1988 (P.L. 100-347), which prohibits any employer from using any lie detector test or examination in the workplace, either for pre-employment testing or testing in the course of employment. OTA also provided us with a staff paper in 1987 that prepares Congress to evaluate the reports we require from the Department of Defense on their experiences with polygraph testing in the workplace. Congress was so impressed with OTA's report on polygraph testing that the House Committee on Education and Labor has requested that OTA evaluate the validity of the integrity tests that have sprung up to fill the gap left by the ban on polygraphs. I have no doubt that this study, too, will play an important role in Congressional deliberations.

I believe you will agree with me, Mr. Chairman, that OTA's work on education, polygraph, and many other technologies has been extremely valuable to the Congress. I fully support their FY 1991 budget request of $20,710,000. I hope you will look favorably upon this request.

Mrs. Boggs [presiding]. Thank you, Senator.

The Chair recognizes Mr. Miller.

Mr. Miller, do you have a statement? If you do, we would be happy to place it in the record in its entirety, and you may summarize it.

Statement by Mr. Miller

Mr. Miller. I have a statement. I would like to present that for the record, and I would like to take just a moment to discuss a few points. The Senator has given good information about what OTA is doing and attempting to do, and what the $20 million will be spent on.

OTA has completed this year such studies as "Catching Our Breath: Next Steps for Reducing Urban Ozone." Clean air, a national problem, as all of you know, has been well-publicized. OTA's organization is very well-equipped to help Congress address this problem, at least comment as what could be done.

The statement I will be submitting concerns Federal information dissemination in an electronic age. OTA completed a follow-up paper on this study which concentrates on dissemination of scientific and technological information.

OTA is working on a number of issues which are very timely and of concern to this Congress. As you know, Jack and his people do not determine which studies will be undertaken. This is the role of the Board on recommendations by Jack and his staff. By the same token, he does not pull these suggested studies out of the air, but makes his recommendations based on the study request that generally come from the chairman of a standing committee or subcommittee. Taking into consideration what he and the OTA staff see as priority issues and taking into consideration what OTA's resources are for providing useful information to a Committee on those issues. He then submits his recommendation to the Board. An example of one such study would be OTA's solid waste study.

Solid waste sounds like something that possibly could be taken care of very easily by the municipal and county engineers in an area; however, the problem is more complex. Our land fills are 80 percent full and it is anticipated that they will be completely full in less than 20 years. Solid waste is an important issue to this Congress and we must find a way to solve it. OTA's study on this issue is through and will provide helpful guidance and direction to the Committees that requested it.

OTA'S WORK ON RADIOACTIVE WASTE DISPOSAL

Another study that OTA has been working on is the storage of radioactive material. That certainly is not a topic a chairman of a committee would recommend off the top of his head as it has already been studied and legislated. All States by 1993 are to be responsible for disposing of their low-level waste themselves; however, a problem has arisen in that few States are far along in developing their disposal capacity for mixtures of low-level and hazardous wastes. As a result the Committee asked OTA to analyze the States' progress in developing disposal facilities for the low-level waste and to evaluate any existing problems in managing mixed low-level waste.

I will not take any more of the Committee's time. However, if there are any questions, we will be glad to attempt to answer them for you.

[The statement of Congressman Miller follows:]

Statement of Congressman Clarence Miller, Vice Chairman
Technology Assessment Board
Office of Technology Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, I appreciate the opportunity to appear before you in support of the Fiscal Year 1991 budget request of the Office of Technology Assessment. As Vice Chairman of the Technology Assessment Board, I would like to discuss an issue I know is of importance to this Committee -- dissemination of Federal information.

Early in Fiscal Year 1989, OTA published a report, Informing the Nation: Federal Information Dissemination in an Electronic Age, that has subsequently played an important role in House deliberations on Title 44 of the United States Code. The report highlights how technological advances are opening up many new and potentially cost-effective ways to collect, manage, and disseminate Federal information. It also highlights two major problems: maintaining equity of public access to Federal information in electronic formats, and defining the respective roles of Federal agencies and the private sector in the electronic dissemination process. The report focuses on current and future roles of the U.S. Government Printing Office and Superintendent of Documents, the Depository Library Program, and the National Technical Information Service. In addition, this report examines electronic dissemination of Congressional information, the Freedom of Information Act in an electronic environment, and electronic dissemination of government information to the press. The report concludes that Congressional action is urgently needed to resolve Federal information dissemination issues and to set the direction of Federal activities for the years ahead. The existing statutory and institutional framework for information dissemination was established by Congress largely during the pre-electronic era. It is important, therefore, that Congress review this framework to determine what actions are needed to ensure that legislative intent is carried out in an electronic environment. The report identifies a range of technical, management, institutional, and statutory alternatives that warrant Congressional consideration.

OTA followed up on this ground breaking report with a staff paper released early in this Fiscal Year, Federal Scientific and Technical Information in an Electronic Age: Opportunities and Challenges. The Federal government is the largest single source of scientific and technical information (also called STI), which is the lifeblood of scientific advancement and technological innovation. OTA found that despite the government's annual $65 billion investment in R&D and creation of STI, it has not focused strategically on the use and users of this information. If left unattended, today's STI problems will soon become tomorrow's crises in the face of the avalanche of science and technical information that will result from, for example, NASA's planned earth observing system. A comprehensive strategy must address key issues, including: basic principles of STI dissemination; training of STI users; policy on the free flow of STI; technical standards and directories for STI dissemination; and greater specification of the roles of individual federal science agencies and government-wide dissemination and archival agencies. As you can see, Mr. Chairman, OTA is providing Congress with a comprehensive look at this very critical issue.

I would also like to bring to your attention some work by OTA that is of special interest to me, Mr. Chairman. OTA's work on alternative transportation fuels has begun to have an impact on the ongoing debate over the Administration's Clean Air Proposals. In its excellent testimony before the Senate Committee on Energy and Natural Resources and the House Committee on Energy and Commerce, OTA offered clear explanations for the wide range of cost estimates for methanol fuel. The differences in these estimates have been a source of confusion and considerable contention in congressional debate. In addition, their testimony offered a valuable, clarifying discussion of the national security issues at stake in a move to alternative fuels. This Nation must have a dependable supply of energy, and this work of OTA will be invaluable to Congress as we act to ensure that supply.

Mr. Chairman, I've covered only a small fraction of OTA's work during the past year. I fully support their budget request of $20,710,000 for Fiscal Year 1991, and hope that you will look favorably upon this request.

Mrs. BOGGS. Thank you so much, Mr. Miller.

Mr. Brown, would you like to come forward?

Senator KENNEDY. Mr. Brown can take my place and Mr. Gibbons is here for any technical questions, and I will request that Mr. Udall's statement be placed in the record.

[The statement of Congressman Udall follows:]

Statement of Congressman Morris K. Udall, Member
Technology Assessment Board
Office of Technology Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, it is a pleasure to appear before you today in support of the Fiscal Year 1991 budget request of the Office of Technology Assessment. I would like to take this opportunity to discuss with you just one example of how OTA has done a good job of analyzing a knotty problem.

As you know, the Congress has dealt with the ongoing problem of low-level wastes for some years now. In a recent special report, Partnerships Under Pressure: Managing Commercial Low-Level Radioactive Waste, OTA drives home the point that better management and regulation of mixed low-level waste must be addressed, and soon.

Nuclear power plant workers must discard their contaminated work uniforms. Radiopharmaceutical manufacturers must dispose of their organic solvents. Instrumentation used to diagnose and treat cancer patients becomes obsolete and must go somewhere. But there are no disposal sites for these mixed wastes, no facilities for its treatment, and its storage is prohibited. Low-level waste generators -- nuclear power plants, industry, academic and medical institutions -- can either stop producing the waste and risk going out of business; illegally store the waste; or illegally dispose of it. Those are their only choices, and they are clearly unacceptable.

Regulation of mixed low-level waste is besieged by problems, including uncoordinated and inconsistent regulations for its storage, treatment, and disposal. Some specific regulations cannot even be met. The States have identified management of mixed low-level waste as a problem requiring immediate attention.

OTA suggests that to resolve the problem of waste generators having no viable option for managing their mixed low-level waste, the Environmental Protection Agency could consider allowing generators to store this waste until treatment and disposal facilities are developed. EPA could require that generators demonstrate their diligence to ensure that these facilities are developed as a condition for permitting such storage. EPA would have authority to stop waste storage if a generator fails to demonstrate progress. An advantage of this approach is that, as generators apply for a storage permit, EPA would learn what types and volumes of mixed low-level waste are being generated. EPA could use the data to better ensure that wastes are not being illegally disposed; the waste treatment industry could use the data as a marketing tool to develop necessary waste treatment facilities.

The Nuclear Regulatory Commission, EPA, and the Department of Energy could provide some funding to support the research and development of treatment options for mixed low-level waste. For example, money in DOE's State technical assistance program could be redirected for this work.

The EPA and the NRC could also develop an active inter-agency task force under congressional oversight to regulate mixed low-level waste management. And Congress could help by insisting on a tight schedule to address possible inconsistencies and duplications among agency regulations, as well as resolve the problem of regulations that cannot be met (e.g., treatment standards and the storage prohibition).

OTA also describes the activities undertaken as a result of the Low-Level Radioactive Waste Policy Amendments Act of 1985, which established milestones, deadlines, and penalties intended to have disposal facilities operational by January 1, 1993. This Act encourages States to form partnerships, called compacts, to develop regional disposal facilities. Nine compacts have formed so far, with seven States, the District of Columbia, and Puerto Rico left unaffiliated. Even those States that are on track, however, have made little progress in developing disposal capacity for mixed low-level waste. Congress must ensure that action is taken against this problem soon, and OTA provides the necessary background for such action.

Mr. Chairman, I fully support OTA's FY '91 budget request of $20,710,000 and hope that the Committee will look favorably upon this request.

STATEMENT BY MR. BROWN

Mr. BROWN. Thank you, Madam Chairman.

I really am somewhat hesitant to make any kind of statement this morning. I will ask permission to file my prepared statement, which as usual is very good, and then I will just make a few comments.

This subcommittee has been extremely sympathetic if not always generous with the OTA budget, and we urge you to continue with that. OTA is still in a posture, a mode of growth and increasing usefulness, increasing acclaim, as a matter of fact, for the work that it is doing.

In my prepared statement, I indicate the degree to which it has become a model for similar developments in nations around the world. There is almost a constant stream of visitors from parliamentary bodies in other countries trying to understand the contribution that OTA makes, and generally ending up replicating it in some form or another.

I think that is more than enough testimony to the degree to which it performs its service for the Members of the United States Congress. The demands from our own members are, of course, constantly increasing.

In addition to that, of course, the Board and the Advisory Council created by the original legislation continue to seek ways to help the function become more effective.

Last October, the Board met. Unfortunately, I was absent and did not meet with them, so I am relying on the minutes. Jack can speak more to this, possibly. They had a very fruitful interaction, not just with regard to the individual projects OTA was doing, but the overall role, current and what it could be in the future.

On the Advisory Council are some of the outstanding scientific leaders of this country who recognize the importance of what OTA is doing and are seeking to make it even more important. So I think we can anticipate that the effectiveness and value to the Congress of what OTA is doing will continue to increase.

You have heard descriptions of some of the projects. They are at the cutting edge of the kinds of policy questions that the Congress faces. For example, energy alternatives, transportation alternatives, how we maintain not just clean air for Southern California, which was an issue that I ran on 25 years ago, but today it is the whole globe; how we can maintain an environmentally safe global situation.

As you know, the President has a very strong initiative in this area on global change aimed at using all our technological resources to monitor the health of the earth and help us develop strategies, energy strategies and transportation strategies which will maintain the cleanliness of the environment.

I recognize my colleague, Mr. Lewis, has had a similar longstanding interest in this. OTA has now compiled a library of studies in this area, which become increasingly more valuable as we move into more action on these things.

The matter of the information age technology, something that was more or less a catchword 10 or 15 years ago, is a reality today.

Our latest study, which I am sure Jack will wave in front of you, deals with this subject.

VIDEO CONFERENCING TECHNOLOGY

Let me make one point here, which is more or less aside from OTA, but I hope this subcommittee can do something about it: Last week, because of my own interest in information systems and satellites for video conferencing, which I have been working on for several years, I went to NASA headquarters and asked them to demonstrate their system.

I found they have a very workable system in which every NASA lab can be linked together on a video hook-up. They have studies in each center. They can put 12 or 24 people there, and connect them with other places. I sat there and talked with staff at Houston, at Kennedy, they could have connected me with staff at JPL in Southern California or anybody else I wanted.

We spent a hour discussing how this technology could be used. This is an illustration not only of video conferencing as a management tool, but it is the ultimate for the use of technologies for learning at a distance. You can conduct classrooms this way, conduct Congressional hearings this way.

This kind of capability exists not only at NASA; it exists in the State Department, Defense Department. It does not exist in the Congress. A point I want to make to you is that it should. I am having my own private consultant come in and look at our capabilities in the House to see if we cannot hook that up to the video conferencing that we have.

I noticed in this morning's Post that you are considering a request from the Architect to set up those conferences in the Rayburn. In a room this size, you could supplement that on a secure basis. They have the ability to be intercepted so that you can engage in safe video exchanges. The State Department, I am sure, has the same capability. The House, if it had this capability, starting out with a committee room this size, could be in touch with every NASA lab, every State Department Embassy around the world, every Defense Department installation, face to face with the people you wanted to talk to.

Mr. LEWIS. Are you suggesting we could have all 435 Members sitting by TVs at home and not have to come here?

DEALING WITH CRISES FACE-TO-FACE

Mr. BROWN. No. If you have one facility in the Rayburn House Office Building, just as we have our own TV capability, in which the Foreign Affairs Committee could have a joint meeting with the Soviet Foreign Affairs Committee, in which they could talk to the Embassies around the world, where the Science Committee would talk to a lab where they had a crisis. We could deal with a shuttle problem face to face when it occurs.

Those are all some of the things we can do. When we learn to use this capability, which is all foretold in our OTA reports, then we can think of extending it to the individual offices. There is a huge potential here. It is so visionary that we could not have dreamed of doing this five years ago. We can dream of it and do it today.

The NASA system is one year old. They are working the bugs out of it. They are going to extend it to Europe so we can avoid the problems we had with the European stations. When we were worried about losing money for the space station, we started redesigning it without telling the Europeans. They went into a tizzy over that.

We could have been in immediate contact with this kind of technology and avoided a lot of problems. They say it is going to cost them $200 or $300 million a year.

I am raising this so you can see what can be available at OTA. I urge people on the committee to continue their forward thinking system. Then perhaps you can urge the Architect to put something like that in.

[The statement of Congressman Brown follows:]

Statement of Congressman George E. Brown, Jr.

Member, Technology Assessment Board

Office of Technology Assessment

Subcommittee on Legislative

Committee on Appropriations

U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, it is my pleasure to speak before you today on behalf of the Office of Technology Assessment (OTA). I have had the honor of serving on OTA's Board since 1975 and with each passing year I become more and more impressed by the performance of this vital government organization.

OTA has proven to be a very useful tool for providing congressional committees with objective analyses of emerging, difficult, and often highly technical issues. By the same token, it has aided Congress in resolving uncertainties and conflicting issues, identifying the myriad of policy options, and providing an early alert to new developments that could have important implications for future Federal policy. Numerous OTA documents have been invaluable to me, and I know they have been widely used by my colleagues and by the various committees involved with technology policy matters. Many OTA reports continue to be on the Government Printing Office's best seller list, which says a lot about the importance and timeliness of OTA's work.

Also noteworthy is the fact that OTA's usefulness extends far beyond that of our Congress to other government organizations, the private sector, and educational institutions. Such expansive networking increases Congress' analytical resource base, reduces chances of duplication, and enables OTA to obtain the most current information available.

Furthermore, OTA serves as a model for other nations. West Germany recently passed a law to create a new office using OTA as the prototype. About a year ago, the United Kingdom (UK) established the Parliamentary Office of Science and Technology funded by members of the UK Parliament, universities and industry -- again mimicking OTA. The Netherlands and Austria have also created similar offices. Belgium is exploring the idea of establishing an OTA-like organization for the entire European Community. UNESCO just sent a representative to OTA to discuss setting up a program in Mexico. Brazil and Hungary have expressed interest in OTA. And the Soviet Union is seriously studying the creation of an office modeled on OTA. Clearly, OTA would not be receiving worldwide recognition if it had not proven to be an effective organization.

With the tumbling of the Berlin Wall, "glasnost" in the Soviet Union, Europe 1992, and the myriad other significant transitions in the world, it seems clear that the demand for OTA's invaluable services will only increase in the years ahead. Nevertheless, budget constraints are making it increasingly difficult for OTA to complete its work on schedule, utilize outside expertise, and compete with other organizations for top notch staff. The full amount proposed in OTA's FY 1991 budget is crucial if the agency is to continue providing high quality service. Therefore, I urge you to support this budget request of $20,710,000. The proposed budget will enable the agency to hold the line against increased costs and to pursue a small number of its current backlog of requests.

In light of the circumstances in the world today, failing to adequately fund this agency would be a grave mistake. OTA's documents comprise comprehensive synthesis and analysis on several of the most contentious and costly issues faced by Congress. Without a mechanism like OTA, it is inconceivable that legislators could be expected to absorb and analyze the explosion of information generated today in order to make well-informed decisions. Furthermore, OTA's ability to provide perspective on Congress' legislative, appropriations, and oversight responsibilities result in savings which far exceed OTA's annual operating budget.

In FY 1990, along with providing expert advice, testimony, briefings, and assessments to committees, OTA delivered 26 publications to Congress on such issues as science education, the future of American agriculture and biotechnology, hazardous waste reduction and management, international trade and technology transfer, and health care costs and containment.

Several studies currently underway are of particular interest to me and should prove very helpful to Congress in identifying and analyzing policy options. An example of OTA's timeliness is its preparation of the study, *Technological Risks and Opportunities for Future U.S. Energy Supply and Demand*, in which OTA is investigating current views of the U.S. future energy supply. The final report will identify the main technical risks and uncertainties that affect the validity of these views, and will identify and evaluate energy policy options such as energy efficiency and conservation.

OTA's ability to anticipate future changes is also exemplified by its report, *Europe 1992*, to be published in the winter of 1991. This study will assess how the European Community Single Market Act and the technology projects of Europe will affect U.S. manufacturers and trade.

International economic competitiveness has surfaced as a key bipartisan issue. Congressional attention to biotechnology to date has focused much more on regulatory issues rather than on how other industrial policies might conflict with or compliment the U.S. competitive position in the industrial sectors most affected by biotechnology. The study, *Biotechnology in a Global Economy* will help establish a basis for making a competitive assessment of the U.S. position in this field.

Another critical study, Information Age Technology and Rural Economic Development, will help us better understand how rural America is affected by the information age. It will also assist Congress in developing plans for revitalizing the rural economy in order to benefit from technological developments.

By the same token, there is general scientific consensus that our use of technology is having a direct effect on our global climate. Although there are numerous national and international efforts underway to quantify the magnitude and timing of these impacts, the potential policy responses that could be implemented to deal with global climate changes are greatly disputed. OTA's study, Climate Change: Ozone Depletion and the Greenhouse Effect, proposes to identify the major contributors to climate change, its potential impacts, possible policy responses to problems identified, and the feasibility and cost of implementing the proposed responses.

As we rely more on technology to improve our standard of living, we will also become more reliant on new technologies to help us solve the problems that technology has left on our doorstep. This is one of the greatest paradoxes of our time. What is needed now, more than ever, are careful appraisals of the role of various technologies in our lives.

Mr. Chairman, I urge your committee to once again approve the full budget that has been requested for Fiscal Year 1991.

Mrs. BOGGS. This is an area of great interest to Mr. Fazio. If he were here, I am sure he would have many questions.

Mr. LEWIS. Congressman Brown and I both have had an interest in air quality for some 25 years now. We might invite you out to our area so you can see the progress we have made.

Mr. BROWN. I don't know about you, but I promised to solve that problem 25 years ago.

Mr. LEWIS. We still have some work to do.

STATEMENT BY MR. HOUGHTON

Mr. HOUGHTON. Just as a bit of introduction, having a bit of my skin taken off when I was associated with a company working on that, I think the idea of having tele-centers all over the country is a great idea, and I strongly espouse it.

The budget of OTA, I am subjective about this, obviously. I think it is modest budget, an increase of about 5 percent over last year. Frankly, I think they ought to ask for more, because I think the task is real, but they have not.

I think Jack, through his machinations in working the budget figures around, can refocus and do extraordinary work. The work is excellent, the people are good, and the purpose is real. It tends to be a bit politicized in terms of the requests coming in.

I have always felt there were too many projects. Maybe that is a function of the politicizing and not really concentrating on the major goal. However, I think that is changing now. There are two examples.

I mentioned one in my testimony, one about military research direction, which I think has been very helpful to the Department of Defense. That clearly is something which is important as we downsize the whole military establishment so that we just don't knock off $200 or $300 million in hardware and have nothing coming along, that there is a very delicate translation process.

Also, there is work going on in terms of where the research in the 1990s is going. Sunday's New York Times says lagging corporate research has put the Nation's edge in high tech at risk. In 1989, spending on research and development fell below inflation for the first time in 18 years.

So, I think the whole thrust of making Congress aware of the importance of new and evolving science is there, and for a very modest budget, and I strongly support the program.

[The statement of Congressman Houghton follows:]

Statement of Congressman Amo Houghton, Member
Technology Assessment Board
Office of Technolgy Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, thank you for this opportunity to appear before you today in support of the Fiscal Year 1991 budget request of the Office of Technolgy Assessment. You should know from the start that mine is a subjective opinion. I am a member of OTA's board, and in a previous life I was involved with a number of scientific causes. In short, I believe deeply in the sort of work OTA does.

To my mind, two central questions would seem to be at issue here. First, is OTA providing concrete assistance to the government? Also, is there potential for continued contribution in future? I think the answer to both questions is yes.

Let me quickly site two examples.

In May of 1989, OTA published a report analyzing the problems the U.S. encounters in developing military technology. Titled Holding the Edge: Maintaining the Defense Technology Base, it pointed to three basic problems:

o A lack of coherent direction for the Department of Defense's R&D programs and their laboratory system.

- o An increase in the amount of time needed to translate lab advances into fielded military systems.

- o DOD's ongoing difficulty with exploiting commercial technology.

Congress, the report summarized, bears some responsibility for the situation. The accumulation of laws, regulations and rules helps choke an already complex system. In its conclusion, the OTA suggested what action could be taken by both the Department of Defense and the Congress.

Holding the Edge is making an impact at the Pentagon. A recent defense management review task force took a look a the DOD's Science and Technology program, and identified four major areas that needed shoring up. All of them had been originally targeted in the OTA report. To some degree the report has also had a hand in recent recommendations for improving the quality, productivity, and efficiency of DOD's laboratory system.

OTA is intended to assist in congressional oversight, utilizing impartial, nonpolitical analyses. As the previous example shows, those reports have direct application to our current problems.

One of OTA's greatest assets is the ability to manage time. As you well know, Congress is often forced to focus on short-term problems, jumping from crisis to crisis. OTA has the time and talent to provide us with the long view. Where can technology take us? What should we be doing to prepare? All questions we as individuals have little chance to pursue, yet as a body must address.

Let me give you another example. One of the issues I hold closest to my heart is the importance of new science. Our future hinges on our ability to stay ahead of the technical curve - not follow it. It is a hard sell.

The United States government supports an element of basic scientific research. But what are its goals? Also, what is the overlap with private research? We may have lost a sense of clarity about the purpose and leverage of our federal research program at just the time that congressional choices about priorities are most critical. Currently, our total research efforts are falling behind. It is no secret that foreign competition is intense, and fewer young people are pursuing Ph.D's. The Congress needs to "look over the next hill" to ensure that the money we spend is properly directed.

The Office of Technology Assessment works. In a project just getting underway, Basic Research for the 1990's, the OTA will analyze the current structure and goals of the federal research system. Its intention is to outline options to improve the return on and stimulation of our reseach investment.

OTA to date has demostrated its worth. I urge you to approve its budget request for 1991 Fiscal Year.

Mrs. BOGGS. Thank you so much.

Almost adjacent to that article in the New York Times was another one that talked about the fact that with Eastern Europe opening up, that where we have had very restrictive informational exchanges on technology, such as military and scientific technology, that there may have to be new arrangements now so we can have technology transfers to places where it had been forbidden in the past.

I think the juxtaposition of those two stories was very interesting.

Mr. HOUGHTON. Absolutely. I think there are so many ways of doing this. Right off the bat, an obvious way is connections with the universities. You don't have to go into nationalized business versus commercial enterprises.

There was a piece from a distinguished scientist friend of mine, who says it is not necessarily the science we are promoting, but the people in science at the universities. That is the thing that is the greatest criteria. In working through various scientific budgets over the years, I know we literally could not spend any more, because we did not have the people.

The whole emphasis and recognized by Congress on this field is one of the most important areas of all, particularly as it pertains to me, what is the most serious deficit? That is the trade deficit. Thank you, Mr. Chairman.

Mrs. BOGGS. Thank you.

Dr. Gibbons, would you like to summarize your statement? We will place your full statement in the record.

STATEMENTS FOR THE RECORD

Mr. GIBBONS. I would, Madam Chairman, if you please. I would like to submit statements from Congressman Dingell and Congressman Sundquist, as well as my own.

Mrs. BOGGS. Without objection.

[The statements of Congressman Dingell, Congressman Sundquist and Dr. Gibbons follow:]

Statement of Congressman John D. Dingell
Chairman, House Committee on Energy and Commerce
Member, Technology Assessment Board
Office of Technology Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, Members of the Committee, thank you for this opportunity to appear today in support of the Fiscal Year 1991 budget request of the Office of Technology Assessment. I fully support OTA's budget request of $20,710,000, and hope you will look favorably on this request. I will focus my remarks today on the important contributions OTA has made in the past fisc~~al year to~~ the work of the Committee on Energy and Commerce, which I chair.

OTA has shown an ability to deal with complex issues in a balanced way, which is extremely valuable to Committees trying to arrive at reasonable solutions. A good example of this is OTA's July '89 report, Catching Our Breath: Next Steps for Reducing Urban Ozone. This report discusses the health effects of ozone, including what is known and what is unknown or uncertain. It provides a clearer understanding of population exposure estimates and exposure at exercise levels. In particular, it observes quite clearly that despite success under existing law and prospects for further progress, meeting the present stringent ozone health standard established by the Environmental Protection Agency will be very difficult and costly. The report also clearly identifies past problems. Despite short statutory deadlines, technology-forcing requirements, and tough enforcement, urban growth, congestion, economic development, meteorological events, and other factors make attainment elusive in many areas. We can and should do more, as the President has urged. However, we also do not want to halt the economic growth in our Nation and its urban areas that provide jobs. As OTA observes, a significant issue facing the nation is how to balance the urgency of the ozone attainment problem against the difficulty of achieving attainment, especially when some of the hoped-for technology is not yet available commercially. I commend the OTA staff for a well-written, balanced, and very timely report that will undoubtedly contribute mightily to the Congressional debate on legislation to amend the Clean Air Act.

OTA addressed another part of our industrial economy's waste stream in Facing America's Trash: What's Next for Municipal Solid Waste. This age of disposables, from diapers to fast food packaging, is leaving our communities awash in a sea of garbage. Our society must rapidly reduce the escalating generation of municipal solid waste and adopt innovative prevention, recycling, and management alternatives. Federal attention to municipal solid waste (MSW) management lapsed during the 1980's, primarily due to the Nation's focus on hazardous waste. This OTA report finds that although primary responsibility for MSW management rests with State and local governments, the federal government can help by addressing some immediate problems, and also by taking on the longer term issue of how society uses and disposes of materials and products. OTA concludes that waste prevention and materials management should be the foundation of a national MSW policy, and OTA identifies a range of policy options to enhance the capability of the United States to reduce the toxicity and quantity of MSW and better manage whatever waste is generated. OTA testified on its findings before the Subcommittee on Transportation and Hazardous Materials on June 21, 1989.

Reflecting its broad capabilities, OTA also delivered a report on Electric Power Wheeling and Dealing: Technological Considerations for Increasing Competition to my Committee in 1989. Competition has been proposed as a mechanism to reduce costs and improve decisionmaking in the heavily regulated electric power industry. Some elements of competition are already appearing. However, major reliability and cost problems could occur unless change is introduced carefully. OTA found that if Congress chooses to encourage competition, various technical and institutional changes could be considered to help develop the standards, information, and operating arrangements needed to ensure that the electric power system operates reliably and economically. In addition, modifications of Federal law could remove some existing disincentives to bulk power competition and increasing wheeling, but these could conflict with other policy goals. OTA testified on its specific findings regarding technical aspects of access to electricity transmission before the Subcommittee on Energy and Power on May 24, 1989.

In addition to publishing and testifying on completed assessment reports, OTA also provided interim testimony on the fuel economy potential of the U.S. automobile fleet. This testimony was based on OTA's ongoing assessment of Technological Risks and Opportunities for Future U.S. Energy Supply and Demand. On April 10, 1989, before the Subcommittee on Oversight and Investigations, OTA made some important and salient points about the increased efficiency potential for the U.S. fleet of highway passenger vehicles. OTA testified again in July before the Subcommittee on Energy and Power on some specific questions of the Subcommittee regarding fuel economy. The Committee on Energy and Commerce finds this sort of unbiased assistance from OTA invaluable.

I will conclude my remarks, Mr. Chairman, by saying that the Energy and Commerce Committee expects many valuable contributions from OTA during the coming year. Several reports are due to be delivered, including: Unconventional Cancer Treatments, Drug Labeling in Developing Countries, Medicare's Prescription Drug Benefit, Government Policies and Pharmaceutical R&D, Confused Minds, Burdened Families: Helping People Find Care for Those With Alzheimer's and Other Dementias, New Developments in Neuroscience, Genetic Testing in the Workplace, Critical Connections: Communication for the Future, and Medical Waste and Other "Non-Hazardous" Solid Waste Issues.

Statement of Congressman Don Sundquist, Member
Technology Assessment Board
Office of Technology Assessment, U.S. Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Mr. Chairman, members of the Committee, I appreciate the opportunity to appear before you today in support of the Fiscal Year 1991 budget request of the Office of Technology Assessment. Since OTA has worked for almost every committee in Congress, including the Appropriations Committees, I am sure that you are familiar with the high quality, indepth analyses performed by this small agency. I would like to focus my attentions today on the valuable analyses of hazardous waste management, particularly of the Superfund program, OTA has performed.

OTA first published on the issue of hazardous wastes in 1981, with a technical memorandum called Nonnuclear Industrial Wastes: Classifying for Hazards Management. A full assessment report, Technologies and Management Strategies for Hazardous Waste Control, followed in 1983, and assessed the criteria for defining hazardous waste and for judging the relative health and environmental hazard of a given waste, and evaluated technologies for site cleanup and for safe treatment, storage, and disposal of new wastes.

OTA published its first assessment of the Superfund program in 1985, in time to assist with debate over reauthorization of that legislation. Superfund Strategy examined future Superfund needs and how permanent cleanups could be accomplished in a cost-effective manner for diverse types of sites. It also described the interactions among many components of the complex Superfund system, and analyzed the consequences of pursuing different strategies for implementing the program.

OTA took another hard look at Superfund in 1989 to provide another helpful analysis of this contentious program. OTA clearly shows in Coming Clean: Superfund Problems Can Be Solved . . . , that Superfund still lacks: 1) a carefully crafted strategy with implementation policies to spell out environmental priorities and goals; 2) an effective partnership among government, site communities, and private sector parties responsible for cleanup; and 3) a unified national infrastructure of education, training, databases, research, and development. Mr. Chairman, the task facing Superfund -- cleaning up over 1,200 toxic waste sites currently on the National Priorities List as well as another 900 sites (EPA's estimate) to 9,000 sites (OTA's estimate) which could be added over the next 10 years -- is formidable, especially in light of tight Federal budgets and shortages of technologies and experienced workers. We in Congress have to ensure that this Nation begins taking advantage of opportunities to make both the strategic and incremental changes in the program that would allow it to fulfill its mission. OTA's report discusses 38 policy options that, separately or in combination, Congress may wish to consider to improve the Superfund program. The options are divided into two categories: strategic initiatives, which would be major new directions in the program, any significant number of which would result in program restructuring; and program changes, which are more modest in scope and which could be integrated into the existing program. There are many options because the problems identified by OTA in Superfund implementation are numerous and complex.

An efficient Superfund program is essential to cleanup of our current hazardous waste problems, but waste reduction technologies could prevent many future problems. In

Serious Reduction of Hazardous Waste OTA reported its finding that reducing waste to prevent pollution from being generated at its source is now a practical way to complement cleanup efforts. To reduce hazardous waste, industry can take five distinct approaches: 1) change the raw materials of production; 2) change production technology and equipment; 3) improve production operations and procedures; 4) recycle waste within the plant; or 5) redesign or reformulate end-products. Each industry, and each company within an industry, must make technology choices on an individualized basis, but waste reduction can succeed when it is part of the everyday consciousness of all workers and managers involved with production. OTA identified several options for Congressional action in the report, thus the report has proved quite valuable to policy development.

Mr. Chairman, I've concentrated my remarks on a small but critical segment of OTA's work. I fully support OTA's FY 1991 budget request of $20,710,000 and hope you will give favorable attention to this request.

Statement of John H. Gibbons, Director
Office of Technology Assessment
United States Congress

before the

Subcommittee on Legislative
Committee on Appropriations
U.S. House of Representatives

January 31, 1990

Overview of OTA's Role

Mr. Chairman, Members of the Committee, it is a pleasure for me to appear before you during these extraordinary times and speak of OTA's role in the Congress.

So much has changed since I first came to OTA in 1979. Ten years ago the Cold War dominated East-West relations, but in 1989 the rusted and corroded Iron Curtain collapsed, and perestroika, glasnost, and solidarity became actions not just images. Congress may have the good fortune to craft a "peace dividend" that some observers anticipate for our economy as ideological conflict declines and military spending decreases in the years ahead. But Congress must also continue to deal with threats not only in a military sense, but also to U.S. world position from an increasingly integrated and competitive global economy.

Our perspectives on energy and environment have changed over the last decade as well. We now focus more clearly on the inevitable shift away from fossil fuels and our technological options for controlling both energy supply and demand. We now realize that the environmental hazards of energy consumption, particularly acid rain and global climate change, are global in both cause and effect. Congress is inescapably drawn into the process of developing a strategy to sustain or increase the level of energy services available to this Nation and others while at the same time minimizing energy production's and consumption's ill effects.

I assume that, in the face of these international developments and the swift pace of technical change, Congress's need -- the Nation's need -- for thoughtful technology assessment will increase. James Madison told us two centuries ago that in order to remain our own governors, to preserve democracy, we must arm the people with the power that knowledge gives. OTA has a proven track record and is well-respected in government, industry, academia, the public interest community, and among foreign leaders. I believe it is the best place for technology assessment to be done within the U.S. government, and I am pleased that OTA has earned the reputation of being one of the top analytical organizations in the whole world.

Recent Accomplishments

During FY 1989, OTA delivered 26 formal publications to Congress, including assessment reports, an interim summary, special reports, a technical memorandum, and several background papers. (See pages 83-91 of the FY '91 Justification of Estimates.) As of September 30, 1989, 37 Technology Assessment Board (TAB) approved studies were in progress and 7 were in press or under TAB review. As an integral part of carrying out assessments, OTA also provided, during the course of projects as well as after delivery, expert advice, briefings, testimony, and results of OTA assessments to Committees matched to their specific needs and the Congressional agenda. (See pages 132-136 of the FY '91 Justification of Estimates.) **During the year, OTA served over 80 different Committees and Subcommittees of both houses, typically in response to bipartisan requests.**

OTA reports represent comprehensive synthesis and analysis on some of the most controversial and costly issues faced by Congress . . . covering, for example, hazardous waste reduction and management, international trade and technology transfer, the future of American agriculture, the defense technology base, education, worker training, health care cost containment, and the future of biotechnology. These studies directly reflect the expressed needs and priorities of Committees of House and Senate.

Effectiveness

Since OTA works for Congress, a critical measure of our effectiveness is our impact on legislative deliberations. I list a representative sample of such use of OTA's reports below (please see the FY '91 Justification of Estimates for additional examples):

- In Senator Metzenbaum's floor statement introducing S. 984, a bill amending the Motor Information and Cost Savings Act, he stated that "studies by the Department of Energy and the Office of Technology Assessment determined that a CAFE (Corporate Average Fuel Economy standard) of 33 to 35 miles per gallon by 1995 would be practical and cost-effective and doesn't require a shift in size mix or performance." The bill itself states that, "analyses by the Department of Energy and the Office of Technology Assessment indicate that known, cost-effective technologies already in use in automobiles today could, if implemented to a greater extent in the new car fleet, provide substantial improvement in new car fuel economy without requiring shifts in the size mix, performance, or luxury equipment of new cars." This work, an interim product of OTA's ongoing assessment of Technological Risks and Opportunities for Future U.S. Energy Supply and Demand, was also cited in S. 1224, the Motor Vehicle Fuel Efficiency Act of 1989. Throughout the year, OTA staff briefed Senate and House members and staff on alternative fuels and automotive fuel economy and other energy technology issues being addressed in the assessment and testified five times on these subjects in the last year. Several of OTA options have provided key middle ground in the debate over CAFE standards.

- OTA's assessment, Commercializing High Temperature Superconductivity, was one of two major policy studies cited by the House Science, Space and Technology Committee in its report (House Report 100-900) on the McCurdy-Ritter bill (Public Law 100-697, the

National Superconductivity and Competitiveness Act of 1988, which became law on November 19, 1988). This Act directs the Office of Science and Technology Policy (OSTP), in conjunction with the National Critical Materials Council, to establish a 5-year national action plan on superconductivity R&D. In reporting its bill to the full House, the committee noted OTA's analysis indicating that while U.S. government had moved aggressively to fund basic research on superconductivity, Japan had been more aggressive in establishing a national program, as well as OTA's findings concerning the relative commitments of U.S. and Japanese firms to commercialization. These latter findings were also cited during the House floor debate on the bill. Subsequently, this report was extensively used by OSTP in formulating their 5-year action plan, as mandated in the McCurdy-Ritter bill. OSTP also conferred a number of times with OTA staff. Indeed, the action plan, the report of the Committee to Advise the President on High Temperature Superconductivity (popularly known as the Wise Men's report), and the creation of the National Commission on Superconductivity were all influenced by the OTA report, in particular through their common emphasis on taking a long-term view, designing stability into the research and development program, working closely with industry, and supporting R&D consortia.

- The International Security and Commerce Program's ongoing assessment of Space Transportation Technologies has assisted work in the House Committee on Science, Space, and Technology on a bill (H.R. 2674) to "encourage the development....of a competitive U.S. space transportation industry." It has also contributed to deliberations within the Subcommittee on Space Science and Applications concerning future government investment in space transportation.

- OTA's recent special report, New Developments in Biotechnology: Patenting Life, was cited by Rep. Robert Kastenmeier, Chairman of the House Judiciary Subcommittee on Courts, Intellectual Property, and the Administration of Justice, in introducing H.R. 1556 (the "Transgenic Animal Patent Reform Act") and H.R. 1557 (to regulate the use of transgenic animals). OTA staff testified at a Subcommittee hearing on September 13, 1989 on H.R. 1556. OTA staff for Patenting Life were consulted by the Senate Judiciary Subcommittee on Patents, Copyrights, and Trademarks regarding potential legislation regarding biotechnology and subject matter patentability. Hearings before the House Judiciary Subcommittee on Courts, Intellectual Property, and the Administration of Justice also featured this study. All witnesses appearing before the Subcommittee were asked to choose which OTA options they preferred, and to compare OTA's options to those chosen by the sponsors of H.R. 1556.

- The Chairman and Ranking Minority Member of the House Committee on Science, Space, and Technology wrote to OTA on January 27, 1989, stating that, "the National Biological Diversity Conservation and Environmental Research Act, which was introduced during the Second Session of the 100th Congress and had 90 cosponsors, relied upon many of OTA's options." These options were provided in contained in OTA's study on Technologies to Maintain Biological Diversity. Findings and options from this report were used extensively in drafting H.R. 1268. Companion legislation is contained in Sen. Gore's Comprehensive Global Protection bill (S. 210).

- OTA's case study, Nurse Practitioners, Physician Assistants and Certified Nurse Midwives: A Policy Analysis, was quoted by Senator Daschle in the floor statement as justification for the aims of his bill, S. 1384, which called for the amendment of the Social Security Act to allow direct reimbursement of nurse practitioner or clinical nurse specialist services in rural areas under Part B of the Medicare Program. The report was also cited by staff to Senator Inouye in a speech concerning the reimbursement of non-physician health professionals. Rep. Edward Roybal, chairman of the House Select Committee on Aging, also relied on information from Nurse Practitioners when he introduced the Nursing Shortage and Nurse Reimbursement Incentive Act as a strategy to attract more nurses. He used the OTA study to reinforce his argument that reimbursing nurse practitioners in place of physicians, when appropriate, would reduce health care costs.

- Interim results from OTA's ongoing assessment of Information Technology and Research have been used in developing legislation in both the House and Senate. The Chairman of the Senate Subcommittee on Science, Technology, and Space distributed copies of OTA's background paper, High Performance Computing and Networking for Science, to all members of the Senate. OTA also testified last spring at hearings held by the House Subcommittee on Science, Research, and Technology on the state of the supercomputing industry.
- S. 587, a bill to amend the Marine Protection, Research, and Sanctuaries Act to protect marine and near-shore coastal waters through establishment of regional marine research programs, and S. 1178, the Marine Protection Act of 1989, cited a finding from OTA's assessment, Wastes in Marine Environments, that the overall health of marine and coastal waters is declining or threatened. This report was also cited by Senator Lautenberg as he introduced S. 1179, the Comprehensive Ocean Assessment and Strategy Act of 1989: "The Office of Technology Assessment, in a 1987 report, concluded that the overall health of our coastal waters is 'declining or threatened,' and that 'in the absence of additional measures, new or continued degradation will occur in many estuaries and some coastal waters around the country.' OTA also determined that contamination of the marine environment has a wide range of adverse effects on birds and mammals, fin fish and shellfish, aquatic vegetation and benthic organisms. Finally, OTA concluded existing programs, even if fully implemented, are not adequate to maintain and improve our coastal waters." He urged Congress to respond positively to the problems identified by OTA and others. H.R. 2953, a bill to establish a comprehensive marine pollution restoration program, to amend the Federal Water Pollution Control Act and the Marine Protection, Research, and Sanctuaries Act, and for other purposes, also cites findings from OTA's work in this area.
- OTA testified to the findings of a special report, Safer Skies With TCAS: Traffic Alert and Collision Avoidance System, before the Aviation Subcommittee of the House

Committee on Public Works and Transportation. In his remarks opening the hearing, Chairman Oberstar stated, "I want to compliment OTA for the excellence of your work, the quality of the presentation made, and very fine analytical work accomplished with a very difficult subject. It is one which was accomplished with great skill and is a great service to the Congress." Subsequently, the conclusions reached were used as the basis for legislation passed by both the House and Senate modifying P.L. 100-233.

Another measure of OTA's effectiveness is our impact on activities outside the Legislative Branch. For FY '89, such impacts include the following:

- The Federal Energy Regulatory Commission (FERC), in its recently issued Transmission Task Force Report, refers frequently to OTA's assessment report, Electric Power Wheeling and Dealing: Technological Considerations for Increasing Competition, and background paper, Biological Effects of Power Frequency Electric and Magnetic Fields.
- The National Defense University uses OTA reports -- Holding the Edge, The Defense Technology Base: Introduction and Overview, and New Technology For NATO -- as textbooks. Holding the Edge has also been used extensively throughout DOD in deliberations regarding strategic planning of technology base programs and laboratory management.
- OTA's reports on space transportation have been used extensively by NASA, the Air Force, and the science, research, and space technology community.
- Based on a review copy of OTA's forthcoming report Confused Minds, Burdened Families: Finding Help for People With Alzheimer's and Other Dementias, the Administration on Aging developed a research initiative on connecting ethnic minority people with dementia to health care and other services.
- OTA staff assisted the National Governor's Association in development of their assessment of agriculturally-related groundwater contamination.

- Through a cooperative agreement between the governments of the Freely Associated States in Micronesia, the U.S. Corps of Engineers, and the National Oceanic and Atmospheric Administration, a "Pacific Island Network" has been established to link the islands together and with Federal information and assistance efforts. Designated agents have been created in Pohnpei, Kosrae, and the Northern Marianas as of July, 1989, and agents will be selected for the other major islands by 1990. Agents will serve as active extension agents (covering aquaculture, marine resource management, protected areas) and program coordinators. These actions were originally suggested by OTA's assessment Integrated Renewable Resource Management for U.S. Insular Areas (1987).

- In developing recommendations for the use of pneumococcal vaccine, the Center for Disease Control's Immunization Practices Advisory Committee drew directly on OTA's update of the vaccine's cost effectiveness, Update of Federal Activities Regarding the Use of Pneumococcal Vaccine.

- The Federal Publishers Committee, an interagency group, used OTA's report, Informing the Nation, to set the framework for its recommendations on improving agency-GPO working relationships.

- The Yale School of Forestry and Environment elected to use OTA's report, Facing America's Trash: What Next for Municipal Solid Waste?, as the main text for one of its graduate level classes.

- The Texas State Board of Education used OTA's report, Power On!, as the basis for five elements of their action plan. The Washington State Office of Public Instruction's Educational Technology Reports to the Legislature draw extensively on OTA's work, as do plans and actions in California, Connecticut, Florida, and New York.

- The OTA special report, Safer Skies With TCAS: Traffic Alert and Collision Avoidance System, was used by the Federal Aviation Administration to structure its operational evaluation program for the early phase of TCAS implementation.

- The National Education Association's Special Task Force on Technology based their recommendations for teacher training and support on OTA's work. The NEA report and press release quoted OTA frequently, and NEA's goal of "a computer on every teacher's desk by 1991" is the direct result of OTA's assessment, Power On!. IBM also cited findings from this report to justify their $25 million effort to assist in training new teachers to use technology.
- The Office of Motor Carriers in the Federal Highway Administration has used the report, Gearing Up for Safety, as an aid in structuring their human factors research.

Plans for FY '90 and FY '91

The bipartisan, bicameral Technology Assessment Board -- a critical element in OTA's reputation for objectivity and relevance -- has approved studies for the coming year that consider the interdependent consequences of technological development: from energy supply and demand in developing countries (and how this affects both economic development and climate change), to monitoring compliance with possible arms control measures; from promoting technology development and managing trade in Europe and the Far East, to identifying the real costs of pharmaceutical drug research and development; from bridging the gap between rural and urban America through information technologies, to managing the hazards of medical wastes. OTA's studies generally reflect the range of Committee interests -- on both sides of the aisle and both sides of the Hill. OTA thus serves as a small, highly skilled, shared resource for all of Congress . . . a unique way to maximize technical assistance at minimum cost.

Over the past 15 years, OTA has provided Congress with hundreds of reports on emerging technologies, and with policy options for governing in a time of rapid technical change. These reports have addressed many discrete areas of scientific and technological change. This experience now provides the background necessary for OTA to help Congress find solutions to cross-cutting issues. For example, how to reflect the needs of rural communities in public policy is an issue in OTA's studies of both health and telecommunications. How best to protect the environmental commons is a concern reflected in OTA's studies that range from local issues, such as municipal solid waste, to integrated approaches to air, water, and land pollution, to global issues, such as climate change. How to shift emphasis smoothly from military toward civilian technology development and production is an issue for our experts in defense, industry, training, and education. OTA hopes to emphasize, in FY 1990 and into the future, the task of integrating our studies to provide to Congress the most comprehensive view possible of increasingly complex, interrelated, global problems involving science and technology.

Attachment 1 of my testimony lists candidate areas for new assessments in FY '90 and FY '91. These topics have been identified by congressional committees, OTA, and its advisers as typical technology-driven issues that the Congress will face over the next several years. This list should be viewed only as representative, since OTA's agenda shifts to meet the changing needs of Congress. As you know, much of OTA's agenda is set about a year in advance, due to the lead time necessary to do careful and complete research and analysis. Thus only a few of the candidate projects listed can actually be undertaken by OTA.

FY '91 Budget Request

OTA is proposing an FY 1991 budget that will permit the agency to continue to deliver the high quality assessments we are known for, to finish ongoing work, and to undertake a small portion of our current backlog of requests. Demands for our assistance continue to grow. In the past, we have had very gratifying success in meeting growing demands by increasing productivity, by careful design of the analyses, by merging of multiple requests into single studies, and by other mechanisms that stretched our capabilities without significant erosion of the quality of the work. But those opportunities have been pretty well exhausted. In other words, most of the blood has now been squeezed out of the turnip, and I regret to report that the flexibility we have lost over the past several years is seriously eroding our ability to perform work in timely fashion, to access expertise found outside OTA, and to compete with other agencies of government, universities, and other institutions for first-rate talent. **Without some budgetary relief we will soon lose the last vestiges of our key flexibility - use of outside contracts to facilitate specialized analytical needs.** This problem is especially acute for OTA because of the unique nature of certain of our fixed costs.

OTA's Unique Fixed Costs: Rent

OTA resides in commercial office space at 600 Pennsylvania Avenue, SE. We often characterize our space as the ideal location for OTA, for it puts a distance between OTA and the day-to-day workings of Congress that helps protect the impartiality of our analysis, but keeps us accessible to the Members and staff. As the neighborhood has developed, we have had to pay more. Though our rent is very competitive with other buildings in Washington, it consumes a larger and larger share of our appropriation.

Rent and operating expenses consume 9 percent of OTA's budget. By comparison CBO and CRS have no rental expenses. GAO reports 3.5% of its budget for building operations, but none for rent.

When budget cuts come, we still have to pay our rent, which escalates on a yearly basis to cover a profit margin for the landlord and actual increases in operating expenses. Since Fiscal Year 1985, OTA's (constant dollar) costs for rent and building operations have increased 126 percent. The largest jump in costs occurred in Fiscal Year 1988, when OTA's initial 10-year lease expired and a new 10-year lease took effect. Over the same period, our appropriation available (in constant dollars) for programmatic work has decreased by 12 percent (see Attachment 2). Staff costs did not decline over this period, thus we were forced to cut contracting expenses. As explained below, these cuts have detrimental effects on the way OTA does business.

Importance of Contracting to OTA's Work

OTA performs its assessments with a unique blend of permanent staff, temporary staff, in-house contractors, advisory panelists, workshop participants, and research contractors.

The permanent staff of 143 forms the nucieus of the operation. Highly trained analysts from a variety of disciplines provide OTA with a broad-based knowledge of many subject areas and the ability to pull together and manage all of the necessary resources and processes that go into an assessment, as well as communicate on a continuing basis with the Congress.

OTA supplements its permanent staff with approximately 60 temporary staff hired for specific assessments because of a specialized expertise. Where temporary employment is not an option, in-house contractors are used as well, historically about 12 contracts a year.

Important guidance for our assessments comes from our advisory panels, which meet on average two to three times during the assessment to help better define the problem, and review our research for accuracy and balance. The Panels are separately constituted for each project, and are carefully chosen to bring together all stakeholder points of view as well as expert knowledge. They typically meet three times over the course of an assessment and then disband. Workshops are organized to address specific or more narrow areas within an assessment or to add in-depth knowledge to an assessment area. More than eight hundred different individuals from all over the nation and world participated in panels and workshops in 1989, almost half without compensation other than expenses. (Some from industry also provide their own expenses.)

The final critical element in OTA's assessment work is the specialized research contractor who performs in-depth research that goes beyond the resources and knowledge base available within the temporary or permanent staff or inhouse contractors. There were 304 of these contractors in FY 1989, averaging $7,600 per contract. In FY 1990 we estimate a drop to approximately 270 contractors, averaging just over $6,000 per contract. Since FY 1985, research contract dollars have declined by 54 percent (FY 85 dollars) and panel contracts by 40 percent (FY 85 dollars), compared to all other costs which have risen by approximately 4 percent (FY 85 dollars). The FY 1985 research contracts were 19 percent of total budget, in FY 1990 they are estimated to be 10 percent. In the same period, the combined in-house, research, and panel contracts amounts have declined from 23 percent to 12 percent (see Attachment 3). **OTA's FY 90 budget for contracts is nearly $2 million (in FY 85 dollars) below the FY 85 level.**

In this situation we can not sustain the technology assessment process that has become so critical to Congress. Staff has filled in for the decline as much as possible, but cannot be stretched further.

Mr. Chairman, OTA is asking for mandatory and price-level increases for staff and other costs and an additional $746,000 for contracts that will better allow OTA to support its assessment activities with the necessary scope and depth of outside research.

Conclusion

During FY 1991, OTA expects that it will be called upon by Senate and House committees for work on issues that run the full range of science, technology, and policy. The influence of changing technology on cost containment, pollution control, national security, industrial competitiveness, employment, health, and constitutional guarantees such as privacy and property rights will intensify, and Congress will be forced to grapple with these issues. The insights OTA can bring to Congress' legislative, appropriations, and oversight functions can result in savings hundreds of times, or more, greater than the cost of OTA's analysis. Thus OTA will continue to be the common analytical resource to committees as they seek fuller understanding of emerging technology and the appropriate role of the Legislative branch.

Attachment 1

Candidate Areas for New Assessments in Fiscal Years 1990 and 1991

The topics given in this list have been identified by congressional committees, OTA, and its advisers as typical technical issues that the Congress will face over the next several years. Note: 1) This list is not given in order of priority; and 2) the actual number of issues we can undertake as full assessments is no more than 1 in 3 or 4 of those listed.

Energy and Materials

- Energy Efficiency
- Nuclear Power Plant Decommissioning and Life Extension
- Recycling of Materials
- Social Costs of Energy Consumption
- Energy Storage Technologies
- Materials for the Information Age

Industry, Technology, and Employment

- Defining the Technology Base for a Developed Economy
- Trade with Eastern Europe
- Foreign Investment in the United States
- Environmental Pressures and Industrial Competitiveness: Opportunities for U.S. Industry
- Technology Transfer
- Arresting the Slide: Retaining and Regaining Competitive Advantage in Computer Hardware and Software

International Security and Commerce

- New Technology and Conventional Force Reductions
- The Future of U.S. Defense Industries
- The Future of Strategic Forces
- The Diffusion of Military Technology
- Destructive Radio Pulse Technology
- The Internationalization of Space Activities

Biological Applications

- Biomedicine of Addiction
- Quality Assurance of Long Term Care of Elderly Citizens
- Biological Technologies to Support Humans in Space
- Risk Assessment and Management for Non-cancer Environmental Toxins
- Keeping Older People in the Workplace

Food and Renewable Resources

- Agricultural Alternatives to Illegal Drug-crop Production
- Agricultural Technology Transfer: U.S. Participation in the Global Agricultural Research System
- Improving Productivity of Degraded Resources
- Advances in Integrated Pest Management
- The Role of Renewable Resource Management in Disaster Mitigation
- The Growing Demand for Amenity Resources: Managing Renewable Resources for Tourism
- Technology for a Diverse Agriculture

Attachment 1, p. 2

Health

- Drug Abuse Prevention and Treatment -- Reducing the Demand for Illegal Drugs
- Worldwide Transmission of Viruses and Tropical Diseases
- Cancer Center Clinical Trials and the Medicare Program
- Intrauterine Surgical Treatment of Fetal Abnormalities: Technology, Cost, and Implications for Medicaid
- Health Care and the Inner City

Communication and Information Technologies

- Copyright and Patent Protection of Computer Software and Databases
- Technical Standards for Telecommunications and Computers
- International Telecommunications
- Mission-Critical Computer Software for the Federal Government
- Radio Frequency Spectrum Management
- Future Directions in Advanced Computers

Oceans and Environment

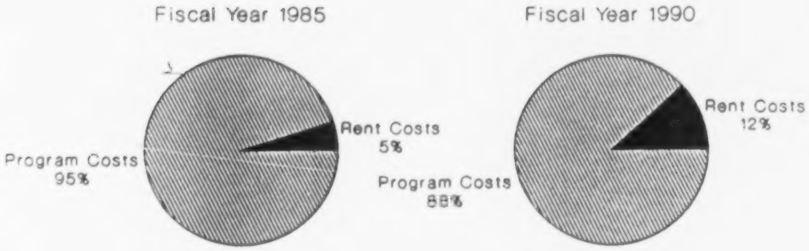
- Impacts of Global Warming
- Industrial, Non-Hazardous Waste
- Indoor Air Pollution
- Non-Point Source Pollution
- Shoreline and Coastal Land Use Management
- Aquaculture

Science, Education, and Transportation

- Alternatives to Standardized Tests
- Delivering Literacy via Technology
- The National Airspace System Plan Revisited
- Education: Research Into Practice
- Conflicts of Interest in the Research Community
- Evaluation of Vocational Education Standards

Attachment 2

Comparison of Rent to Program Costs in FY85 Constant Dollars



Program Costs include mandatory, price-level, and workload increases for all analytical work.

Comparison of Rent to Program Costs

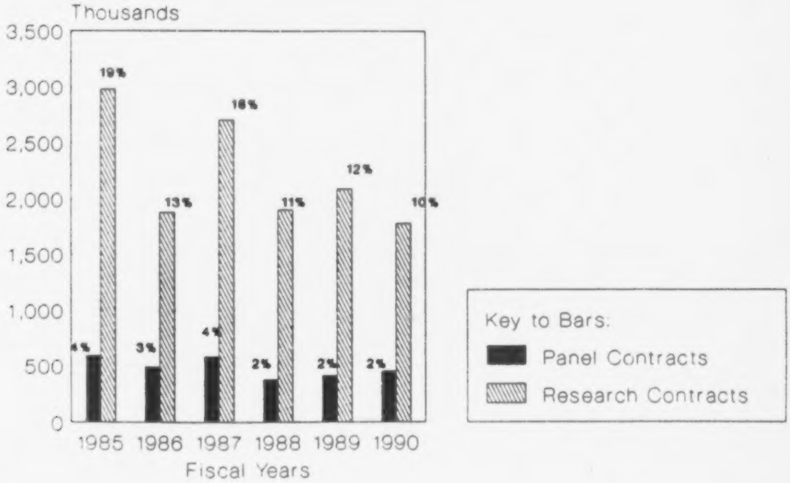
in thousands of dollars

	Rent Costs		Program Costs	
	nominal dollars	*FY85 dollars*	*nominal dollars*	*FY85 dollars*
FY 85	609	609	11,818	11,818
FY 86	651	634	10,639	10,359
FY 87	772	720	12,057	11,245
FY 88 a/	1,290	1,156	11,759	10,535
FY 89	1,640	1,399	12,193	10,404
FY 90	1,688	1,376	12,825	10,452
Net percentage change		126%		−12%

a/ New 10-year lease.

Attachment 3

Contract Obligation Comparison FY 85-90
Percentages of Total Obligations
Nominal Dollars



Panels, Research Contracts, and All Other Costs to OTA

in thousands of dollars

		Panel Contracts	Research Contracts	All Other Costs
Actual	FY 85	593	2,978	12,102
Actual	FY 86	489	1,879	12,229
Actual	FY 87	584	2,697	13,241
Actual	FY 88	378	1,898	14,575
Actual	FY 89	414	2,082	15,395
Estimate	FY 90	461	1,779	16,331
Ratio FY90 to FY85 in nominal dollars		0.78	0.60	1.35
Net % change in FY 85 constant dollars		–40%	–54%	4%

STATEMENT BY DR. GIBBONS

Mr. GIBBONS. I was thinking earlier today that this is, I think, my 11th time before the committee, since I came to OTA in 1979. I think that is the same year Mr. Lewis and Mr. Fazio joined Congress.

While they still have full heads of hair, I find mine getting thin. I have determined there are three stages of hair: unparted, parted, and departed. I have reached the third stage.

A lot of other things have changed. The Cold War has moved to the Big Mac in Moscow. We have gone from being the chief creditor in the world to the champion debtor. We have had discoveries leading to the ability to see individual atoms and microorganisms and to explore the genetic code.

We have had a lot of shifting in our thinking. We have gone from a time when we thought we had completed discovery of how to cure infectious diseases, because we cured them all, to a time when AIDS and other virulent pathogens severly afflict us.

So, we see a whole new war ahead of us. We have shifted to new tools such as DNA probes, which are assisting in changing everything from basic research on how life works to deterring who committed crimes. And probes perform with extraordinary accuracy.

Computers with 10 times the performance capability that obtained when I came to Washington are available at the same price we paid then. We have new understandings of the extraordinary impact human activities have on the whole planetary climate.

A lot of changes have gone on in that relatively short period of time. I think the more things change, the more they become the same. There is an extraordinary extent to which technology threads its way through the national agenda.

CRS' review of the needs and priority items for the Second Session of the 101st Congress lists some 21 issues, about 15 are imbedded with technology. I am happy to say OTA is swept up in all 14 of those 21. I think we can truly be seen as the premier science and technology analytical resource for Congress.

OTA IS A SHARED RESOURCE

We are a shared resource. In 1989, we served more than 80 different committees and subcommittees of Congress. The workload is more than we can say grace over. That is a sure statement.

In my testimony submitted for the record, I give evidence on pages 493 through 499 of the use of our work by Congress, by the Executive Branch, by the State governments, by universities, and industries. We cover a wide range of subjects, including:

The Clean Air Act, which Senator Kennedy and also Mr. Miller mentioned. We are deeply involved not only in the Clean Air Act amendments on both the House and Senate side and by both Republican and Democratic leadership, but we are also involved in the estimate of stratospheric ozone problems, and we are deep in the global climate issues.

In energy and energy policy, we are in the midst of alternate fuel and auto emissions, the Arctic National Wildlife Reserve, Antarctica, nuclear waste, the whole gamut of issues across energy policy.

In waste, where governance must play a central role, we did signal work in 1989 in municipal solid wastes. That report is being used as the main textbook in a graduate course at Yale. We worked on Superfund, medical and marine wastes, agricultural wastes as they affect ground water quality. So, we are down in the dumps all the time, but for cause, because these are continuing knotty problems of governance.

We are working on everything from high-temperature superconductors to training, to patents on new bio-engineered life forms, to space transportation. Today, there was a release of OTA's work on the whole issue of communications technologies. I have with me the staff size version. Senator Kennedy carried off the Senator size version.

I note on page 59 of the President's budget a figure on biotechnology research in the U.S. They credit OTA as their source, so it is bound to be definitive. This is an example of the use of our work by the Executive Branch.

OTA'S BACKLOG OF REQUESTS

The backlog of OTA work continues to mount. As Congressman Houghton pointed out, some of those requests should only remain requests and not be acted upon, because some originate in terms of politicization.

Requests sometimes come to us because a Member may wish to defer action until OTA completes a study. Those kinds of requests get headed off at the pass long before they reach my Board of Directors. If I do my job right, we are able to negotiate our way out of those things.

I list 56 candidate studies in the first attachment to my testimony, as examples of the things which are under discussion that we may be asked to undertake in the coming year. Perhaps one in five of those might be done with the resources we request. One should always have more urgent requests than one has sources for, because that enables you to take on the highest priority items. At the same time, the issues are getting more linked internationally and across different parts of our society so analysis is becoming more challenging.

OTA works in areas of great complexity and our resources are tight. We must negotiate with a multiple set of committees for a single piece of work to stretch our resources. There our projects generally require more time and financial resources.

A single project typically represented an amalgamated piece of work for three different committees of House and Senate. We have one project with six requests. Negotiating a statement of work, carrying it out, and successfully delivering obviously is complicated with that many committees involved.

We feel it is productive however, because our work with the committees—defining the questions and deciding what answers are needed—helps the committees of jurisdiciton begin to resolve their differences in addition to improving our study.

The Congressional Research Service has pointed out in looking toward the year 2000 that there are three commonalities among the many issues facing Congress in that time frame. First, a longer time horizon, and a need for better capabilities in scenario analysis and forecasting; the second, a globalization of issues, a need to understand the integrated nature of socio-technical problems today; and third, more capabilities to integrate across politics, policy, technology, economics, that is, interdisciplinary perspectives that Congress must wrestle with. I think the way OTA's work is organized is responsive to those generic imperatives for Congress.

Now, finally, our request: I maintain it is both tight and urgent. I would like to highlight two items to illustrate that.

COST PRESSURES ON OTA

First, an example of some of the kinds of unusual kinds of cost pressures on our agency. First, speaking of rent: In constant dollars between fiscal year 1985 and fiscal year 1990, our rent costs went up 126 percent. This was in part because of a new lease, in which we had to sustain major increases several years ago. Under the new lease, our rental space is costing us about $24 a square foot, less than if we were to move to the proposed new office building by Union Station or downtown, where rent would be over $30 a square foot, but a lot closer to market rent than what we paid 5 years ago. That means we now spend about 9 percent of our entire budget on rent.

In order to pay for that increase, we have had to decrease program resources by 12 percent. This is particularly a hardship on OTA compared to our sister agencies who don't have rental payments. I want to point that out because I hope that would be taken into account when one compares the budgets of the agencies.

The second point is the question of contracts. I have mentioned our contracts dilemma for several years. I emphasized it last year, and I want to deeply stress it this year. We have had a permanent staff of 143 people for six years running. About 110 are analytical. We supplement that with 50 to 60 temporary in-house people with a turnover that is fairly rapid; last year it was 71 percent.

We need the turnover because as a small agency we need institutional memory and technical expertise, but we also have to move on. So, I think this mix of two-thirds permanent and one-third temporary and inhouse contractors turning over is quite appropriate for us.

In addition to this need for flexible in-house expertise, we extensively use panels, workshops, and research contracts. We had 800 people involved with OTA last year in panels and workshops. Our three hundred research contracts averaged about $7600 each. That is small peanuts in the Executive Branch, but important up here. This year, research contracts will drop to 270 averaging $6,000 each. We have to stretch the dollars but we're at the breaking point.

IMPORTANCE OF CONTRACTING CAPABILITY

Mr. Gibbons. We have a concern about the erosion of our capability to use contract capability to supplement our staff, to obtain information, advisory panels, and the like.

Since 1985, our contracting capability for this kind of work has declined by almost 50 percent in order to meet other inescapable rising costs. In terms of our overall OTA budget, the funds we have for research contracts, in-house experts and panels has fallen in those five years from 23 percent of our total budget to about 12 percent of our budget in 1990.

It is a critically low number at this point. Our budget in fiscal year 1990 for contracts is $2 million below what was in 1985 (in constant dollars).

We most earnestly request a restoration of at least one third of that amount or about $83,000 for each of our nine major programs at OTA, such as the programs that cover all of health issues or all defense issues. That may be a minor number to some agencies, but it would make a major difference to us, Madam Chairwoman.

I would close by simply trying to underscore that we feel this is a critical issue for the agency, and we very badly need some relief.

Thank you.

Mrs. Boggs. Thank you.

How many legally mandated projects and assessments are you now doing? What proportion of your total work load do they represent?

MANDATED ACTIVITIES

Mr. Gibbons. I believe at present, we are doing three major mandated activities.

One is for the prospective payment commission, one for the physician payment review commission and the third for monitoring studies of the Vietnam Veterans and other veterans' issues. The total amount of those funds needed to carry out that work is about $63,000.

Out of a budget of $20 million, mandates are a very small fraction of our total. There are, however, a matter of great and continuing concern to us, as they are for this committee. We appreciate the committee's help in our minimizing the number of mandates that come to us.

A lot of mandates go into the hopper, but we have in place mechanisms that help us work with Committees to make arrangements other than mandates. There are two currently in the hopper, though, that may, in fact, turn out to be mandates.

One has to do with OTA evaluation in the late 1990's revisions of the Clean Air Act. Another has to do with providing transportation services for handicapped people. Since neither bill has not passed, we don't know the extent of OTA involvement. These two are from a total of some 25 possible mandates that have been headed off one way or another.

Mrs. Boggs. Could you please update the mandate staff and the cost data on page 861 of last year's hearings?

Mr. Gibbons. I will be happy to do that for the record.,

[The tables follow:]

MANDATED ASSESSMENTS

MANDATED PROJECTS—ASSIGNED STAFF IN FISCAL YEAR 1989

Projects	Staff direct costs	Months
Monitoring of madated veteran studies	Senior Associate	4
Prospective Payment Assessment Commission	Analyst	6
Physician Payment Review Commission	Senior Analyst	3
Prescription Drug Payment Review Commission	Senior Associate	0
Total		13

Indirect Staff Costs—In addition to the direct staff assigned, the following staff are charged to overhead or G&A accounts—Director, Assistant Director, Program Manager, Administrative Assistant, and Program Secretary.

MANDATED PROJECTS—FISCAL YEAR COSTS

[In thousands of dollars]

Projects	1989 actual	1990 estimate	1991 estimate
Monitoring of mandated veteran studies	34	26	30
Prospective Payment Assessment Commission	20	22	21
Physician Payment Review Commission	12	11	12
Prescription Drug Payment Review Commission	8	0	0
Total	74	59	63

EFFECTS OF THE CONGRESSIONAL PAY INCREASE

Mrs. Boggs. You are asking $272,000 as an "impact of congressional pay increase." The pay raise affects executive levels I through V.

To what extent do you pay your staff at those executive levels and how many staff do you expect will be affected?

Mr. Gibbons. I would suggest again that I might answer that for the record for you since it is a little complicated. We are, as you know, not on a strict GS level basis, but we do have levels that correspond to certain GS level bases.

I would like to submit that in a current chart for you.

[The information follows:]

In addition to Executive Levels I-V, the Ethics Reform Act of 1989 (P.L. 101-194) provides pay relief for Members of Congress, justices and judges, the Foreign Service, the General Schedule and the Senior Executive Service. OTA plans to selectively adjust three pay levels, below that of the Director (EL-III), so that we can maintain a balanced and competitive compensation program.

The number of staff included in these changes by year-end 1991 could be approximately 30. Of this number, about 20-25 staff will be affected in January 1991.

PRESENT OTA EXECUTIVE SALARY LEVELS

OTA level	No. of employees	Range of salaries
Executive Level III	1 Director	$89,000
1	4	$83,870 to 84,950
2	19	$77,460 to 82,790
3	7	$75,940 to 80,630

Mrs. Boggs. One of the benefits of the higher salary ceiling was to reduce the compression at the executive top management levels. To what extent will you be able to rearrange your salary schedule given the schedule provided in the new executive rates?

Mr. Gibbons. I hope it will provide very badly needed flexibility. On the side, since I think I only make $500 more than my closest associates, I would like to turn over my job to them often. But in all seriousness, beginning January 1991 we will have some flexibility that will enable us to put a reasonable salary spread between our top jobs, and also to retain our most senior technical people.

In the past year we have lost a very significant, if not dramatic number of some of our most senior analysts who, quite frankly, couldn't afford to stay any longer. I hope this relief will enable us to hold on to a better percentage of our top people.

Mrs. Boggs. The next question we will ask you to answer for the record, please.

[The question and response follow:]

Question. A few years back, your senior staff—the division directors—were graded at Executive Level V, or the GS-18 equivalent. Then you increased that to Executive Level IV due to the lack of adequate ceilings. Do you expect you can now return to Executive Level V or GS-18 ceilings?

Response. In the mid-1980's we examined the compensation practices of numerous congressional and federal agencies that employed scientific and technical people. That analysis showed that OTA was not adapting adequately to changes in pay practices among Federal agencies who were our chief competitors for staff talent. We knew of our inability to match the flexibility provided by the Senior Executive Service (SES) but learned that the GAO National Institute of Standards and Technology (NIST), Health and Human Services (HHS), the Defense Department and others had also begun using salary and awards combinations in order to attract and retain better people. Our experience, confirmed in discussions with congressional sister agencies, was that retention had become a major problem and recruitment of people with certain disciplines was nearly impossible because of salary patterns in academia and industry.

OTA (and CBO) adopted a salary structure that resembled that of the SES, the GAO and the practices of Senate and House committees, but still lacks an awards component (requested by CBO and OTA in the FY 1991 appropriation). We have no intention to pattern our compensation after that of the old "super grade" system or that of the GS/GM series, though our middle management and junior grades are paid at rates that are very similar to the GS series.

Mrs. Boggs. The annual cost of living adjustments are running 3.5 percent to 4 percent. In addition, last year you indicated that the average OTA staff person received another 3.5 percent in either a merit increase or a promotion. That is about 7 percent to 7.5 percent per year per employee.

Can your budget support that practice indefinitely? Are you merely trying to achieve a salary goal and then return to more modest increases?

RECRUITING AND RETAINING TOP-NOTCH EMPLOYEES

Mr. Gibbons. The 7 percent, of course, part of that is mandated by the COLA, which is passed through uniformly to our employees. The rest is through merit or promotion which is highly individualized and ranges from zero to 4 or 5 percent.

We constantly look at the salaries we must pay for our people compared to what is paid in Washington and especially in other agencies. Since we are unable to provide any bonuses and other benefits, for instance, for our scientists, physicians, economists, lawyers, and the like, we find that we run behind these other agencies.

This average increase you quote, which is very different when you look at individuals, is our attempt to stay up with our immediate competitors even within the Federal Government. Therefore, I have no way to anticipate exactly what will happen in the future. We only hope that we will be able to offer our people almost as much as the other agencies can and continue to make up the difference in other ways.

RENT CONSIDERATIONS

Mrs. **Boggs**. Have you looked into space availability of either the city Post Office renovation or the New Judiciary Center? Would that be in your long-range plans?

Mr. **Gibbons**. We have each year looked at the possibility of alternative space, especially in the new Post Office complex. So far, though, our bid is still in, it is my understanding that we stand fairly low on the totem pole.

We would, of course, be very interested in obtaining space that is less expensive than where we are now, even though we are presently at a below market for this area. We, however, do find it very helpful to be within a 10 minute walk or a 15 minute walk of our clients' offices and hearing rooms and the likes.

I would feel nervous about moving so far away that we would be that much distanced from our, the rest of the Congress. But, any relief we can have on either of the cost of our present space or finding less expensive space, we would very much be attracted to.

Mrs. **Boggs**. Actually, the new Judiciary Center and the Post Office Building are close to the Congress.

Mr. **Gibbons**. That is correct. That is why we have particularly been interested in those potentialities.

Mrs. **Boggs**. We hope you won't get into such a long-term lease arrangement that you couldn't be flexible about getting the space you need in one of those buildings when it becomes available.

Mr. **Gibbons**. Our lease, as with all government contracts, is based on the convenience of the Federal Government. Therefore, I think the termination of the present lease would be the least of our concerns or delays in making such a move.

Mrs. **Boggs**. Mr. Yates, do you have any questions?

QUESTIONS ON ENERGY MATTERS

Mr. **Yates**. I am very much impressed with the witnesses who have appeared before us in support of your appropriations and impressed, too, with their testimony relating to studies that you have done. I have a particular interest in the subcommittee of which I have the honor to chair, in dealing with non-nuclear energy matters, fossil fuels.

Of course, you have had studies on ozone, you have had studies on air pollution. You have had these very excellent studies. Where do we go now with your excellent studies?

I will begin hearings with the Department of Energy portion of our budget in the near future. How can we carry out what you recommended? Could you tell us that?

Mr. **Gibbons**. Congressman, we try to, first of all, I must say personally——

Mr. **Yates**. Or are you going to be in the academic world, above reality?

Mr. **Gibbons**. I hope that the very hard bottom lines of both our findings and the options for Congress that we try to provide with each of our studies takes us some distance beyond where the academicians are able to go.

I would suggest that as you approach the time of hearings we could meet the committee staff and acquaint them with where we are, what kind of options we have laid out.

Mr. **Yates**. Should we be calling you as a witness?

Mr. **Gibbons**. We would be delighted to be called as witnesses.

Mr. **Yates**. Are you aware of the studies being done in our portion of the budget? We do call on you from time to time for information.

We think you are doing a very good job. I want to bring you into our ambient more intimately than you know.

I want you to come in and tell us what you think we ought to be doing in terms of our appropriations. If you will take a look at the Department of Energy's budget, can you think of how we can move toward protecting the ozone, eliminating pollution to the extent that we can?

I know we have research studies going on now on hybrid vehicles, on electric vehicles, on energy saving in buildings and appliances and other things of that sort. I know that over the years you have studies covering those things. Has the time come now for moving for more solidly ahead in those fields?

Is there something we ought to be doing in our Appropriations Committee that we are not doing? We are looking for all the help we can get.

I think that you can give us some help in that respect. May we call on you?

Mr. **Gibbons**. I would be delighted. In fact, let me call on you.

Yes, sir, we do have some very specific information that I believe will be directly relevant to your concerns. We won't tell you what you should do, but we will tell you what we think your options are.

OTA'S CONGRESSIONAL BACKERS

Mr. **Yates**. That is fair enough. I must say I am very much impressed by all the good things everybody says about you.

I know very few agencies that get so many congressional backers for the work that they do. I think it is well deserved.

I think that we get our money's worth from the appropriations we have given you.

Mr. **Gibbons**. Thank you very much.

Mr. **Yates**. Thank you, Madam Chairwoman.

Mrs. **Boggs**. Thank you, Mr. Yates.

I was so interested in your wonderful overview of what has gone on since 1979 and the situation in which we find ourselves in global deliberations, and considerations in almost everything that we are going to be engaged in.

Mr. YATES. If you will yield, don't we want to know why he hasn't stopped acid rain?

Mrs. BOGGS. Well, I was at one of the national laboratories several years ago when one of the young interns, a young woman came up to me with the sickest looking little ear of corn you have ever seen. She said, "Mrs. Boggs, I think corn likes acid rain better than no rain at all."

ENERGY EFFICIENCY

Mr. GIBBONS. I might make a brief response to the question you raised, which I think is very interesting. One thing that OTA has been working on, and I know you personally have been working on for a number of years, is the urgency and the sensibility of introducing energy efficiency into our system.

Over the last 15 years that has resulted in about a 30 percent improvement in the amount of energy required to produce a given level of GNE. There is a lot of acid rain that is not up there now that would have been had it not been for people such as yourselves that pushed for energy efficiency.

Mr. YATES. Let's push a little harder. Of course, we may have to turn off a couple of the smoke stacks in various places. We have talked to a number of witnesses who say there is no proof that it is the smoke stack.

There is no real proof. Are you persuaded that that is so?

Mr. GIBBONS. No, sir, I am not. There is still insufficient understanding about exactly what happens to sulphur and other things up in the atmospheric. But we do know a lot more about atmospheric chemistry than we used to know.

We do know a lot more about how those transformed chemicals can affect materials and human lungs.

Mr. YATES. We know we have a treaty with Canada in which we and Canada both are supposed to be trying to minimize the effect of acid rain. In your judgment, are we doing as much as we should be doing?

Mr. GIBBONS. That is a tough question to answer. I think both countries have moved a long way in terms of decreasing acid emission, such as the big copper smelter plan up along the Canadian border.

I think we are gaining important experience in how to produce electricity, say, from coal with far less emissions than in prior years. I think we have now enough practical experience on line, under our belts that we can make more accurate projections of costs and technology projections into the future.

Mr. YATES. Of course, our clean coal program will help in that respect, I assume. That is a long way down the road to achieve the results that we want.

Thank you for yielding. I am sorry.

COORDINATED WORK ON ANTARCTICA

Mrs. BOGGS. If you could yield.

In your overview of the different responsibilities of OTA exercises, you mentioned our work with the Antarctica. Of course, if there was ever any example of where the global community must coordinate endeavors, disciplines it is there. Are you working closely with the National Science Foundation in that regard?

Mr. **Gibbons**. We worked closely with the NSF and people in the State Department and the people in the academic community. The NSF has major endeavors in the Antarctica. Our concern on Antarctica, incidentally, was to examine the treaty provisions that have been presented to the many countries and to ask the question whether or not that is a proper treaty to move ahead with.

Does it provide sufficient protection? Is a bird in the hand worth two in the bush? Our report addressed those issues.

Mrs. **Boggs**. I am very happy that you are involved with the treaty considerations because I think in 1991 we have to extend the treaty?

Mr. **Gibbons**. I believe that is correct.

Mrs. **Boggs**. With 33 nations involved, it isn't going to be easy.

Mr. **Gibbons**. That is right.

CONCLUDING REMARKS

Mrs. **Boggs**. We thank you so much for your testimony and for your appearance and for the great work that you have provided.

Mr. **Gibbons**. Thank you so much.

Mrs. **Boggs**. I will insert the remaining questions in the record.

[The questions and responses follow:]

Consultants and Temporary Employees

Question. What about your consultants and other temporary employees? Many of these people are more or less permanent, although they are not on the permanent rolls. Do they receive comparable 7%-7.5% increases also?

Response. Consultants are used intermittently during the course of the year; most provide their expertise free of charge to OTA. Daily rates for consultants have been fixed at $200 per day for some years. Members of OTA's Technology Assessment Advisory Council (TAAC) receive annual cost-of-living increases only.

All OTA employees receive COL adjustments, which make up a significant portion of the 7-7.5% increases to which you refer. However, employees with less than 3 months of OTA service and staff expected to leave within the next 3-4 months do not receive merit salary increases. Thus only 40-50% of OTA's temporary employees, who often reside at OTA for one year or less, receive merit increases in a year; the turnover rate among temporary staff in FY 89 was 71%. Total combined (COLA and merit) increases for temporary employees who work longer than a year average 5-6%.

Question. Update the staff allocations, resources, and compensation items on pages 864-869 of last year's hearings.

Response. The updated tables follow.

TEMPORARY EMPLOYEES RETAINED MORE THAN 1 YEAR (FISCAL YEAR 1989)

Name and position	Entry date	Salary	Comments
Keller—Senior analyst	04-27-87	$50,230	Converted to permanent 01-30-89.
Roy—Analyst	06-08-87	45,250	Converted to permanent 09-11-89.
Rapoport—Analyst	02-23-87	33,690	Converted to permanent 05-08-89.
Milford—Analyst	09-01-87	36,130	Terminated 10-08-89.
Szabo—Analyst	09-01-87	31,450	Terminated 04-28-89.
Nadel—Analyst	02-16-87	39,590	Terminated 09-22-89.
Solan—Analyst	03-16-87	42,660	Terminated 02-03-89.
Sedor—Analyst	02-09-87	39,220	Part-time.
Simerly—Analyst	05-04-87	32,400	Project completion 3/90.
Wagner—Analyst	04-13-87	36,520	Converted to permanent 02-27-89.
Boesch—Analyst	06-22-87	31,750	Terminated 10-21-89.
Gavrin—Analyst	06-23-86	35,290	Terminated 09-01-89.
Alexander—Analyst	08-31-87	43,050	Terminated 08-06-89.

TEMPORARY EMPLOYEES RETAINED MORE THAN 1 YEAR (FISCAL YEAR 1989)—Continued

Name and position	Entry date	Salary	Comments
Schaefer—Analyst	08-31-87	43,050	Terminated 09-29-89.
Wardenburg—Research analyst	09-15-86	23,860	Terminated 08-13-89.
Keller, J.—Research assistant	08-03-87	20,320	Converted to permanent 07-31-89.
Dry—Research assistant	09-01-87	20,320	Terminated 05-08-89.
Metcalf—Research assistant	08-10-87	21,160	Project completion 7/90.
Mathiasen—Research assistant	07-20-87	21,450	Terminated 07-28-89.
Wong—Research assistant	08-17-87	22,040	Terminated 08-18-89.
Duffy—Research assistant	08-05-87	21,160	Project completion 6/90.
Franzen—Conf. Ctr. coordinator	05-24-82	33,050	Terminated 09-30-89.
Parker—Secretary	03-17-86	26,260	Converted to permanent 04-24-89.
Martin—Clerical assistant	05-11-87	16,890	Converted to permanent 06-05-89.
Sundt—Analyst	10-05-87	39,220	Project completion 5/90.
Kowalski—Analyst	01-04-88	42,960	Terminated 08-11-89.
Gross—Secretary	01-11-88	35,970	Terminated 01-07-90.
Cox—Research assistant	02-29-88	20,320	Terminated 06-16-89.
Zimmerman—Analyst	06-07-88	39,590	Terminated 08-13-89.
Jordan—Research assistant	03-07-88	24,550	Terminated 09-08-89.
Baldwin—Senior analyst	02-04-88	53,480	Project completion 9/90.
Diewald—Senior Analyst	04-18-88	61,570	Project completion 6/90.
Bruns—Analyst	06-20-88	35,750	Project completion 8/90.
Anderson—Research analyst	06-06-88	25,160	Converted to permanent 10-23-89.
Andrews—Research assistant	05-31-88	20,320	Project completion 9/90.
Walsh—Analyst	08-29-88	35,750	Project completion 9/90.
Morse—Analyst	09-06-88	38,060	Project completion 9/90.
Garfinkle—Research analyst	09-12-88	28,360	Leaving 3/90.
Henderson—Analyst	08-29-88	41,590	Project completion 9/90.
Wolfe—Research assistant	09-06-88	22,620	Project completion 9/90.
Brentley—Analyst	08-29-88	46,160	Converted to permanent 11-06-89.
Liskowsky—Analyst	09-12-88	42,660	Converted to permanent 10-09-89.

Note.—During these appointment periods, an employee commonly works on a full assessment, testimony, briefings, special responses, follow-on work, and, frequently, planning new projects.

IN-HOUSE CONTRACTORS RETAINED MORE THAN 1 YEAR

Name	Entry date	Annual rate	Comments
Blumberg, Robert	2/15/88	$52,780	Terminated 5/19/89.
Robyn, Dorothy	9/2/87	61,000	Terminated 9/30/89.
Weissler, Robert	9/23/88	54,000	Converted to permanent 1/1/90.

FISCAL YEAR 1989 CONSULTANTS

Name	Appointment date	Termination date	Fiscal year 1989 compensation paid
Beistline, Earl H [1]	July 31, 1981	Aug. 1, 1989	$1,208.41
Carter, Ashton B	May 23, 1983		
Cochran, Thomas B	July 1, 1975		
Drell, Sidney D	Jan. 31, 1975		
Fein, Rashi	Sept. 1, 1975		
Fineberg, Harvey V	Jan. 1, 1984		
Francis, Sybil H	Nov. 1, 1986		
Freeman, S. David [1]	Dec. 31, 1980	Dec. 31, 1988	
Geller, Howard S	Mar. 28, 1984		
Gough, Michael	Nov. 15, 1985		215.02
Haimes, Yacov Y	Mar. 18, 1977	Sept. 30, 1989	
Halbouty, Michel T [1]	Aug. 1, 1985		
Harl, Neil E [1]	Feb. 19, 1988		1,208.41
Hunt, James C [1]	Feb. 19, 1980		584.85

FISCAL YEAR 1989 CONSULTANTS—Continued

Name	Appointment date	Termination date	Fiscal Year 1989 compensation paid
King, Patricia A	Aug. 1, 1981		
Koffler, Henry	Feb. 19, 1989		623.56
Lampietti, Francois M.J	Jan. 25, 1977	Sept. 30, 1989	
Lederberg, Joshua [1]	Feb. 19, 1988		1,052.52
Lee, Sidney S	Jan. 1, 1982		
Levi, Barbara S	June 14, 1976		
Lewis, Irving J	May 25, 1987		
Mosteller, C. Frederick	Sept. 1, 1975		215.02
Perry, William J [1]	Mar. 11, 1982		
Peterson, Chase N [1]	Aug. 6, 1986		623.56
Potter, David S [1]	Mar. 11, 1982		623.56
Ride, Sally [1]	Feb. 19, 1988		1,091.23
Riegelman, Richard K	Oct. 1, 1982		
Schuette, Oswald F	July 1, 1975		
Sharfman, Peter J	Mar. 6, 1989		
Sims, John F.M	Aug. 2, 1989		
St. Lawrence, James H	Mar. 1, 1988	Mar. 31, 1989	
Stevens, Rosemary A	Dec. 18, 1981		322.53
Von Hippel, Frank N	Jan. 31, 1975		
Total			7,768.67

[1] Member of the Technology Assessment Advisory Council.

DETAILEES

Name	Date	Salary	Comments
Kathy Loughlin	July 1988	Paid by NIH	Completion June 1989.
Patricia Anderson	Nov. 1, 1988	Paid by NSF	Completion Jan. 1990.
Douglas Weimer	Dec. 1, 1988	Paid by LOC	Completion Oct. 1989.
Andrea Solarz	Dec. 12, 1988	Paid by Carnegie Corp	Completion Aug. 31, 1990.
Stephen Baldwin	Feb. 27, 1989	Paid by OTA (from NCEP)	Completion April 1990.
Andrew Monjan	June 6, 1989	Paid by NIA	Completion June 1990.
Robert Morgan	Sept. 1, 1989	Paid by OTA (from Wash. Univ.)	Completion May 31, 1990
Mirilee Pearl	Sept. 1, 1989	Paid by NIH	Completion Nov. 1989.
Peter Rose	Sept. 5, 1989	Paid by AAAS	Completion May 31, 1990.
Ross Gorte	Sept. 15, 1989	Paid by OTA (from CRS)	Completion Sept. 15, 1990.
Charles Brownstein	Nov. 14, 1988	Paid by OTA (from NSF)	Completion June 2, 1990.

STAFF YEAR COSTS

[Includes salary plus benefits; in dollars]

Position	Average costs	Range of costs
Senior analysts:		
Permanent [1]	77,283	47,186 to 86,091
Permanent [2]	67,965	53,200 to 86,746
Temporary [2]	72,122	63,507 to 80,714
Consultants [3]		
On-site contractors		
Analysts:		
Permanent [1]	51,918	47,685 to 58,341
Permanent [2]	48,465	38,475 to 54,815
Temporary [1]		
Temporary [2]	45,564	35,803 to 59,695
Consultants [3]		
On-site contractors		

STAFF YEAR COSTS—Continued

[Includes salary plus benefits, in dollars]

Position	Average costs	Range of costs
Research analysts:		
Permanent [1]	31,479	31,479
Temporary [2]	29,129	25,127 to 34,140
On-site contractors		
Research assistants:		
Temporary [2]	21,136	23,180 to 27,253
On-site contractors		

[1] Benefits average 11 percent.

[2] Benefits average 18 percent.

[3] Used intermittently, no benefits, ranged from 28 to 33 consultants in fiscal year 1989; only 11 requested compensation in fiscal year 1989 for a total of $7,768.67.

STAFF ALLOCATIONS, FISCAL YEARS 1989–1991

	1989 average	1990 estimate	1991 estimate
Staff	143	143	143
In-house consultants, contractors, temporaries	67	67	67
Detailees	10	10	10
Fellows	3	5	5
Facilities management contract	18	16	16
Total	241	241	241

Note.—OTA does use in-house consultants. Contractors are used for specific pieces of a project and, thus, work for a specified amount of time. Temporaries are used for a variety of assignments but for a specified amount of time.

FISCAL YEAR 1989 MERIT AND PROMOTION INCREASES

Job family	Merit increases	Promotions
Program manager	6	
Senior associate	14	1
Senior analyst	19	5
Analyst	31	14
Research analyst	6	
Research assistant	11	
Division assistant	1	
Administrative assistant	5	
Secretary	13	1
Miscellaneous operations personnel	15	6
Total	121	27

FISCAL YEAR 1989 MERIT AND PROMOTION INCREASES

Job family	Salary	Merit increases		Promotions	
		Amount	Percent	Amount	Percent
Program manager (4)	$78,600	$1,040	1.32		
Do	76,520	3,120	4.08		
Do	75,500	3,060	4.11		
Senior associate (5)	77,560	2,080	2.68		
Do (2)	77,560	1,040	1.34		
Do	75,500	2,060	2.73		
Do	74,320			$3,240	4.36
Do	73,050	1,270	1.74		
Do	71,540	2,970	4.15		

FISCAL YEAR 1989 MERIT AND PROMOTION INCREASES—Continued

Job family	Salary	Merit increases		Promotions	
		Amount	Percent	Amount	Percent
Do (2)	70,510	2,540	3.60		
Do	57,800	3,200	5.54		
Do	57,180	1,900	3.32		
Senior analyst	70,510	2,540	3.60		
Do	67,340	1,900	2.82		
Do	66,700	1,930	2.89		
Do	62,900	1,260	2.00		
Do (2)	61,570			2,590	4.21
Do	60,350	1,910	3.16		
Do	59,960	1,610	2.69		
Do	58,330	2,150	3.69		
Do	57,240	2,160	3.77		
Do	56,720			3,000	5.29
Do	56,170			2,280	4.06
Do	55,620	2,170	3.90		
Do	54,550	1,620	2.97		
Do (2)	54,010	2,160	4.00		
Do	52,390	1,090	2.08		
Do	51,860	2,150	4.15		
Do	50,770	2,160	4.25		
Do	50,230	1,070	2.13		
Do	47,540	1,830	3.85		
Do	47,090			2,050	4.35
Do (2)	44,340	1,820	4.10		
Analyst	50,740	1,820	3.58		
Do	44,800	1,360	3.04		
Do	44,340	1,360	3.07		
Do	43,830			1,420	3.24
Do	43,440			1,360	3.13
Do	43,430	1,370	3.15		
Do	42,960	1,840	4.28		
Do	42,660	1,170	2.74		
Do	42,510	2,290	5.39		
Do	41,520	1,530	3.68		
Do	41,130	1,920	4.67		
Do (2)	40,740			1,770	4.34
Do	40,350	1,240	3.07		
Do	39,980			2,070	5.18
Do (5)	39,980			1,610	4.03
Do	39,980			1,210	2.90
Do	38,440	1,150	2.99		
Do	37,680			2,670	7.09
Do (3)	37,680	1,540	4.09		
Do (2)	37,300	1,140	3.06		
Do	36,520	1,540	4.22		
Do	36,520	1,160	3.18		
Do	36,130	1,170	3.24		
Do	35,370	1,150	3.25		
Do (3)	34,600	1,150	3.32		
Do	34,340			1,410	4.11
Do	34,340	1,270	3.70		
Do	34,000	1,290	3.79		
Do	33,690			1,290	3.83
Do	31,750	650	2.03		
Do	31,450	950	3.02		
Do	30,800	950	3.08		
Do	29,910	1,210	4.05		
Research analyst	27,990	760	2.72		
Do	27,620	740	2.69		
Do	27,260	1,100	4.04		
Do	23,860	1,300	5.45		

FISCAL YEAR 1989 MERIT AND PROMOTION INCREASES—Continued

Job family	Salary	Merit increases		Promotions	
		Amount	Percent	Amount	Percent
Do	23,860	660	2.77		
Do	21,160	880	4.16		
Research assistant	23,880	670	2.81		
Do (2)	22,040	910	4.13		
Do	20,590	860	4.18		
Do (2)	20,320	840	4.13		
Do	19,520	1,070	5.48		
Do (4)	19,520	800	4.10		
Division assistant	33,050	1,290	3.90		
Administrative assistant	33,260	900	2.71		
Do	31,130	830	2.67		
Do	29,520	2,030	6.89		
Do	24,520	640	2.61		
Do	23,860	980	4.11		
Secretary	29,130	780	2.68		
Do	26,260	1,080	4.11		
Do	25,220	1,040	4.12		
Do	24,220	1,000	4.13		
Do	22,950	930	4.05		
Do	22,620	950	4.20		
Do	22,040	910	4.13		
Do	20,590	860	4.18		
Do	19,790	1,100	5.56		
Do	19,520	800	4.10		
Do	18,850	780	4.14		
Do	18,340			510	2.78
Do	17,840	500	2.80		
Do	16,890	950	5.62		
Miscellaneous operations personnel:					
Administrative officer	78,600	1,040	1.32		
Personnel officer	66,700	2,540	3.81		
Manager, operations svs	61,030			2,500	4.10
Director, congressional affairs	59,960	2,140	3.57		
Executive assistant to director	56,170	1,070	1.90		
Manager, information svs	54,550	2,170	3.98		
Press officer	51,650	1,830	3.54		
Publishing officer	48,000	1,820	3.79		
General counsel	43,430			5,190	12.00
Congress relations officer	44,990			1,640	3.65
Personnel specialist	43,440	1,550	3.57		
Assistant manager, info svs	36,920	1,520	4.18		
Deputy budget and finance officer	36,920	1,140	3.09		
Personnel specialist	34,650	1,280	3.69		
Senior system analyst	34,000	1,290	3.79		
Do	32,400	1,290	3.98		
Senior financial analyst	32,080	970	3.02		
Software systems specialist	28,750			1,090	3.79
Budget and finance analyst	28,750			1,090	3.79
Senior accounting technician	24,870			1,320	5.31
Accounting technician	23,250	970	4.17		

OTHER BUGETARY INCREASE

Question. Explain the $98 thousand increase in the building lease, repair, and related items. What are the components of this increase?

Response. The building lease escalation is based on an adjustment in the rate paid per square foot to reflect increases in the CPI-W ($40,000), anticipated increases in taxes ($11,000) and parking ($16,000), and increases in operating expenses due to union labor rate increases and planned building repairs ($31,000).

Question. How often is the landlord allowed to raise the lease cost?

Response. The base rent cost is adjusted each year for CPI-W. The lease allows the landlord to increase parking expenses up to 10% annually. The lease also permits the landlord to recoup actual operating expenses and real estate taxes incurred over an established base.

Question. Also, in that same item, why would "increased contractor competition" cost *more*; shouldn't that produce a savings?

Response. We refer here to increased difficulty in OTA being able to compete for the services of highly competent contractors. Through contract negotiation and the competitive procurement process, OTA has generally been able to procure the services of the world's leading scholars in a great variety of fields at a discount from their documented fair market value. The willingness of many of these individuals to accept less than fair market value for their services reflects both their interest in OTA's work and the ability of OTA to maintain a *reasonable* relationship between what the organization is able to afford and the researcher's usual charges.

The continuing decline in OTA contracting monies, both in real and absolute dollars, has made it more difficult to procure the best scholars and to realize the savings possible through a thorough competitive process.

Competition offers an additional opportunity for substantial overall savings when OTA's research needs are large enough to be combined so that more complex services/products can be procured from a single contractor. The overall savings produced through competition represent significant economies of scale. However these economies cannot be realized without sufficient funding to induce potential offerors to bid for work.

The gap between fair market pricing and the monies available to fund an *attractive* competitive procurement has widened to the point that many competitive procurements are now eliciting only one proposal. By contrast, only a few years ago, as many as one third of potential offerors on a bidders list could be expected to respond. In order to get the type of products OTA needs are the very best contractor to perform the work, the scope and dollar amount of the procurement must be raised or the contractors will not consider undertaking the work.

Question. What is the basis for the $30 thousand reduction in the payroll/personnel conversion?

Response. OTA has estimated its one-time payroll/personnel conversion implementation cost to be $30 thousand in FY 90. Since it is a non-recurring expense, OTA has shown the reduction in FY 91 on Schedule C of the Justification of Estimates.

OVERALL BUDGET GROWTH

Question. You are asking for a large increase: almost 13%. Over a two year span, it would be 15%. It will probably not be possible to make a significant increase. If we must cut the request, where would it be most sensible for us to focus our attention?

Response. To sustain the technology assessment process that has become so critical to Congress, OTA requires full funding of our requested mandatory and price-level increases and at least partial restoration of our contracting dollars that will allow OTA to support its assessment activities with the necessary scope and depth of outside research. If we do not receive the requested amount, OTA will have to reduce staff and cut down further on services requested by Congress.

QUESTION SUBMITTED BY MR. CONTE

Question. Dr. Gibbons, I was the primary sponsor of legislation designating the 1990's as the Decade of the Brain.

Four proposed OTA studies are critical to a successful culmination of the research related to this important endeavor. As I understand it, two of these studies have been completed. The third is in progress.

I believe it is important that the fourth and final study be completed in full, but we have heard that adequate resources may not be made available for this purpose. I hope that is not the case.

What can you tell me about the status and outlook for that fourth study, which deals with new developments to neuroscience?

Response. The fourth study, which is concerned with the biologic basis of mental illness, is planned to begin late this fiscal year as staff is freed up from the second and third studies. It is true that resources are extremely tight at OTA, and that some discussions have been held regarding the most economical ways to proceed.

However, OTA staff are aware of Mr. Conte's special interest and have been in touch with his staff regarding the scope of this project. The plans currently are to consult with the project's advisory panel covering these issues and, as usual, to rely substantially on their advice. In addition, staff have assured Mr. Conte's staff that he will be consulted regarding whether and how this study can be undertaken.

WEDNESDAY, JANUARY 31, 1990.

U.S. GOVERNMENT PRINTING OFFICE

WITNESSES

JOSEPH E. JENIFER, ACTING PUBLIC PRINTER

SAMUEL B. SCAGGS, ASSISTANT PUBLIC PRINTER, OPERATIONS AND PROCUREMENT (CHIEF OF STAFF)

DONALD E. FOSSEDAL, ASSISTANT PUBLIC PRINTER, SUPERINTENDENT OF DOCUMENTS

JAMES N. JOYNER, ASSISTANT PUBLIC PRINTER, ADMINISTRATION AND RESOURCES MANAGEMENT

THOMAS J. MULDOON, DIRECTOR, OFFICE OF PLANNING

GRANT G. MOY, JR., GENERAL COUNSEL

JOYCE BLALOCK, INSPECTOR GENERAL

Mrs. BOGGS. Good afternoon. We are very happy to hear from the Government Printing Office. Mr. Jenifer, we are very happy to have you here as the Acting Public Printer. We understand that the nominee for the Public Printer, Mr. Robert W. Houk, is in attendance. We will be very happy for you to identify the other persons who are with you.

OPENING STATEMENT

Mr. JENIFER. Thank you.

Madam Chairwoman and Members of the Subcommittee, my colleagues and I are pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office for fiscal year 1991. With me today are Mr. Bruce Scaggs, who is my Chief of Staff; the Superintendent of Documents, Donald E. Fossedal; our General Counsel, Grant Moy; our Assistant Public Printer for Administration and Resources Management, Mr. Jim Joyner; GPO's Inspector General, Ms. Joyce Blalock, and the Director of the Office of Planning, Mr. Thomas Muldoon, who functions as my Chief Financial Advisor.

In the interest of time, I would like to briefly summarize my prepared statement which you have received.

Mrs. BOGGS. Your entire statement will be placed in the record.

Mr. JENIFER. A number of noteworthy developments have occurred since I last appeared before you. For fiscal year 1989, GPO generated $9.1 million in consolidated net income, a margin of a little less than 1 percent on $1.019 billion in revenues. This was the first time that GPO's annual revenues have exceeded the billion-dollar mark.

Net income from procured printing and sales of publications increased over 1988, and our employment of full-time equivalents reached its lowest level in recent memory, continuing a decade-long reduction in personnel with no negative impact on product and service provision.

A variety of program improvements were made during the year, and for the first time in a decade, GPO saw significant progress being made in Congress on efforts to modernize Title 44. As you know, H.R. 3849, the Government Printing Office Improvement Act, which was introduced on January 23, 1990, would make a number of changes to Title 44 that we have been seeking over the years. Finally, I would also like to note the recent nomination of Mr. Robert W. Houk to be the next Public Printer. Mr. Houk will bring to the position a distinguished career in the printing industry.

Developments during 1989 also revealed the range of challenges that confront GPO today. These challenges will require the continued attention of Congress, the Joint Committee on Printing, and GPO, if GPO is to remain the cost-effective provider of the Federal Government's information reproduction and dissemination needs that it is today and has been historically.

Chief among these is the need to build on the achievements of the last decade toward improving the efficiency of GPO's conventional printing and distribution operations. At the same time, the ongoing integration of electronic information technologies into GPO's operations must be accelerated, in addition to continued expansion of product and service options. Finally, action must be taken on GPO's long-standing need for a modern, efficient facility. While progress was made in each of these areas last year, much remains to be done.

Of immediate concern is the effect on GPO's finances of actions taken to accommodate funding reductions resulting from the Gramm-Rudman-Hollings sequester, the budget authority restriction of P.L. 101-163, and the reduction to fund Drug War programs. Together, these actions resulted in $4 million in net mandatory reductions for fiscal year 1990 beyond what was originally approved by Congress.

Following consultation with the staff of the JCP, we formulated a plan to achieve the necessary cost reductions during the year without jeopardizing our ability to provide essential products and services to the Congress, Federal agencies, and the public.

As I have pointed out in my prepared statement, the plan provides for reductions to administrative services covered by the Revolving Fund in addition to adjustments to product and service provision funded by GPO's appropriations.

While we believe that these cost reductions will be successful, they have affected our appropriations request for fiscal year 1991, principally because the plan entails Congressional printing rate reductions to under-recovery levels.

Our request for fiscal year 1991 seeks a restoration of appropriations funding to normal levels. To ensure that this funding does not exceed acceptable limits, however, GPO will continue with reductions to administrative expenses to alleviate the cost burden assigned to appropriated programs. Modernization activities to improve efficiency and productivity will also be continued.

In addition, this year GPO implemented a variety of other measures to reduce costs and improve efficiency, which I have outlined in my prepared statement, and there are still others which have yet to be acted upon. Taken together, these actions will ensure that GPO remains a cost-effective instrument of Federal information reproduction and dissemination policy in the coming years.

Madam Chairwoman, in all probability this will be the last time that I will have the privilege of appearing before this subcommittee. It has been an honor to have been associated with you and the Members of the subcommittee and also with your outstanding Staff Director, Mr. Ed Lombard.

I have appreciated the association I have had with you all. This concludes my opening statement. I would be pleased to answer any questions you might have.

[The statement of Mr. Jenifer follows:]

United States Government Printing Office
Washington, D.C. 20401

STATEMENT OF

JOSEPH E. JENIFER

ACTING PUBLIC PRINTER

BEFORE THE

SUBCOMMITTEE ON LEGISLATIVE APPROPRIATIONS

COMMITTEE ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES

ON

APPROPRIATIONS ESTIMATES FOR FISCAL YEAR 1991

MR. CHAIRMAN AND MEMBERS OF THE SUBCOMMITTEE:

My colleagues and I are pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office (GPO) for fiscal year 1991.

Overview

A number of noteworthy developments have occurred since I last appeared before this Subcommittee. For fiscal year 1989 GPO generated $9.1 million in net income, a margin of less than one percent on $1.019 billion in revenues. This was the first time that annual revenues exceeded the billion dollar mark. Net income from procured printing and sales of publications increased over 1988, and GPO's employment of full-time equivalents (FTE's) reached its lowest level in recent memory, continuing a decade-long reduction in personnel with no negative impact on product and service provision. A variety of program improvements were made during the year, and for the first time in a decade GPO saw significant progress being made in Congress on efforts to modernize Title 44.

Developments during 1989 also revealed the range of challenges that confront GPO today. These challenges will require the continued attention of Congress, the Joint Committee on Printing (JCP), and GPO, if GPO is to remain the cost-effective provider of the Federal Government's information reproduction and dissemination needs that it is today. Chief among these is the need to build on the achievements of the last decade in improving the efficiency of GPO's conventional printing and distribution operations. At the same time, the ongoing integration of electronic information technologies into GPO's operations must be accelerated, in addition to continued expansion of product and service options. Finally, action must be taken on GPO's long-standing need for a modern, efficient facility. While progress was made in each of these areas last year, much remains to be done.

Of immediate concern is the effect on GPO's finances of actions taken to accommodate funding reductions resulting from the requirements of the Gramm-Rudman-Hollings sequester (P.L. 99-177 and P.L. 101-239), the budget authority restriction of P.L. 101-163, and the reduction to fund Drug War programs enacted by P.L. 101-164. Together, these actions resulted in $4 million in net mandatory reductions for fiscal year 1990 beyond what was originally approved by Congress.

Following consultation with the staff of the JCP, GPO formulated a plan to achieve the necessary cost reductions during the year without jeopardizing our ability to provide essential products and services to Congress, Federal agencies, and the public. The plan consists of reductions to administrative services covered by the Revolving Fund in addition to adjustments to products and services funded by GPO's appropriations. While we believe that these cost reductions will be successful, they have affected our appropriations request for fiscal year 1991, principally because the plan entails Congressional printing rate reductions to under-recovery levels and other cutbacks to normal product and service provision.

Accordingly, GPO's request for fiscal year 1991 seeks a restoration of appropriations funding to normal levels. To ensure that this funding does not exceed acceptable limits, however, GPO will continue with reductions to administrative expenses to alleviate the cost burden assigned to appropriated programs. Modernization activities to improve efficiency and productivity will also be continued. In addition, this year GPO implemented a variety of other measures to reduce costs and improve efficiency, which I have outlined in this statement, and proposed still more which have yet to be acted upon. Taken together, these actions will ensure that GPO remains a cost-effective instrument of Federal information reproduction and dissemination policy in the coming years.

Appropriations Request

For fiscal year 1991, I am requesting $112.8 million for those programs that require appropriations directly to GPO. This is an increase of approximately $14.4 million, or about 15 percent, over the funds approved for fiscal year 1990, including a $3 million reappropriation, transfers from the GPO Revolving Fund, and reductions caused by legislative mandates.

The increase is primarily for the restoration of unit rates for Congressional work to reflect actual cost, the fiscal year 1991 bound Congressional Record, funds to cover prior fiscal year obligations, and expenses for the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries.

The request consists of $84.9 million for the Congressional Printing and Binding Appropriation and $27.9 million for the Salaries and Expenses Appropriation of the Superintendent of Documents.

Congressional Printing and Binding Appropriation

The request for the Congressional Printing and Binding Appropriation represents an increase of approximately $10.8 million over the final funding approved for fiscal year 1990.

A major component of the increase is approximately $7.8 million to cover current production costs totaling $4.6 million, and to restore the unit rates charged for all categories of Congressional work to full cost recovery levels, totaling $3.2 million.

To fund projected workload increases, approximately $4.0 million is requested for the fiscal year 1991 bound *Congressional Record* in addition to $2.4 million for Miscellaneous Printing and Binding, Committee Prints, Hearings, and other items. These amounts are offset, however, by projected workload decreases totaling $3.5 million, primarily in funding to cover preceding fiscal years' obligations (compared to fiscal year 1990) and the daily *Congressional Record*, resulting in an overall request for funds to cover workload increases totaling $2.9 million.

Fiscal Year 1990 Program Reductions. For fiscal year 1990, in response to mandatory reductions to the Congressional Printing and Binding Appropriation totaling approximately $3.7 million, cost-reductions were developed to prevent the interruption of necessary products and services to Congress, including:

(1)	Reduce the number of Congressional Record Indexers by two	$120,000
(2)	Reduction in cost of paper will be reflected in billings to this Appropriation by 12 percent	400,000
(3)	Reduce the number of regular and overtime hours for Details to Congress	336,000
(4)	Establish a standard size of 8 1/2 by 11 inches for all Legislative Calendars	5,000
(5)	Distribute the Agriculture Yearbook in bulk, rather than in individual mailing cartons	50,000
(6)	Reflect savings attributable to automation of the Senate Journal	230,000
(7)	Expand the use of dialup composition by Senate Committees and encourage the use of the MICROCOMP Composition System by all committees	40,000
(8)	Reduce rates charged to the Congressional Printing and Binding Appropriation until the balance of reductions is achieved	2,500,000
	Total	$3,681,000

Production Costs. Approximately $4.6 million is included in the request to cover current production costs for fiscal year 1991. The majority of this amount is to cover labor cost increases associated with mandatory wage agreements and other increases in personnel compensation and benefits costs. Funds are also included to cover projected increases in the price of paper and other materials for fiscal year 1991.

Unit Rates. To achieve the necessary reductions in fiscal year 1990, reductions totaling approximately $3.2 million have been spread among the various unit rates charged for Congressional work. Unit rate reductions, rather than volume reductions, were necessary because GPO is statutorily obligated to supply Congress with all of its printing needs regardless of the volume that is ordered, and because we can only estimate Congressional printing volume in any given year. Based on anticipated volume for fiscal year 1990, the extent of the mandated cost reductions required us to decrease many unit rates below levels charged for the same work performed in fiscal year 1989. These are expected to under-recover the cost of Congressional work performed for fiscal year 1990.

While GPO can compensate for the anticipated under-recovery this year to accommodate necessary reductions in funding, this policy cannot be continued in subsequent years without resulting in the need to request supplemental appropriations or increased funding to cover prior-year obligations. Accordingly, it is necessary to restore unit rates to levels that will fully recover the costs of Congressional Printing and Binding in fiscal year 1991. Along with other administrative cost reductions and cost savings achieved through continued modernization, future unit rates for Congressional work will be stabilized.

Bound Congressional Record. All of the bound editions of the Congressional Record through 1982 have been completed and delivered to Congress. With the exception of their Indexes, all of the volumes for the 1983 and 1984 editions have also been completed and delivered to Congress, as have all of the volumes for the 1985 edition, except for the Index and Digest. For the 1986 edition, comprising 25 volumes including the Index and Digest, all but 7 volumes have been completed and delivered to Congress. For the 1987 edition, comprising 26 volumes including the Index and Digest, 7 volumes have been completed and delivered. Four of the remaining volumes are still in pre-press production, while all others are in various stages of printing and binding. All work on the text portion of the 1986 and 1987 editions is expected to be completed this year. Two of the 22 volumes of the 1988 edition have been completed and delivered to Congress, while 2 others are still in pre-press production. The remaining 18 volumes are in the binding area. Pre-press production has been initiated on the 1989 edition.

Although funding for the bound editions of the Congressional Record for 1986 through 1990 has been deferred, GPO has been directed by Congress to perform work on these publications using available funds. However, it may become necessary to request additional funds in the future. GPO has been able to obligate substantial funds from the 1986 and 1987 Congressional Printing and Binding Appropriations for producing the 1986 and 1987 bound editions of the Congressional Record. However, when these publications are completed and final cost data is available, it may be necessary to request additional funding for them. It is anticipated that the 1988 bound Congressional Record will be billed this year. Because the 1988 account is exhausted, it will be necessary to charge this publication to unexpended balances in the 1989 or 1990 Congressional Printing and Binding Appropriations. Therefore, it may be necessary to request additional funding for the final cost of this publication. Depending on production schedules and funding availability, similar funding requests may be necessary for the 1989 and 1990 bound editions of the Congressional Record.

Bicentennial Publications. We are requesting a continuation of the appropriations language authorizing the use of unexpended balances for printing Bicentennial of the Congress publications. An obligation of $2 million was established for these publications, of which GPO has billed a total of $960,000 through December 1989. Examples of these publications include the Biographical Directory, Guide to Former Members Papers, 1789-1987, and History of the Committee on Ways and Means. There are several publications under production at this time.

Volume Increases. Volume increases are projected for Miscellaneous Printing and Binding, Committee Prints, Bills, Resolutions, and Amendments, Hearings, and other categories, as detailed in our budget submission. Compared to the reduction in the number of hours projected to be worked by Details to Congress in fiscal year 1990, as the result of a cost-reduction measure, there is a 6-percent increase in this category for fiscal year 1991 to cover the anticipated restoration of hours worked to normal levels.

A volume decrease is projected for the daily Congressional Record for fiscal year 1991 because the number of pages of this publication usually decreases in the first session of a Congress. Historically, first-session requirements also decrease significantly for Committee Reports and Business and Committee Calendars. These decreases are reflected in the request. Progress in implementing automated systems for the Congressional Record Indexers will result in a 3-percent decrease in hours worked, which will partially offset the volume increase projected for Index pages due to the ability to list more items.

Prior Fiscal Year Obligations. GPO's Congressional Printing and Binding account balances are insufficient to fund all outstanding obligations through fiscal year 1989, as the result of unanticipated and unusually heavy demand in fiscal year 1988. In that year, daily Congressional Record pages were estimated at 37,000, but a total of 40,800 pages were actually printed. Similarly, 96,000 pages were estimated for Bills, Resolutions, and Amendments, but 120,000 pages were printed. Committee

Report pages were estimated at 39,000, but 126,000 pages were actually printed, primarily due to the Iran-Contra report.

For fiscal year 1990 GPO submitted a conservative estimate for the amount of funding required to meet these obligations which has since been exceeded. Approximately $3 million is required to meet all outstanding prior year obligations, excluding the bound Congressional Record, in fiscal year 1991 due to the depletion of fiscal year 1989 appropriations used for that purpose.

Funds for Senate Paper. Section 12 of S. Res. 212, Managing the Expenditure of Funds for Senate Official Mail (November 19, 1989), provides that "[t]he Committee on Appropriations shall consider providing funds for paper for the Senate in an account under the general heading 'Contingent Expenses of the Senate'." Currently, funding for blank paper for the Senate is provided under Miscellaneous Printing and Binding. If S. Res. 212 is adopted, GPO's Congressional Printing and Binding Appropriation could be reduced by the amount used to fund paper for the Senate.

Salaries and Expenses Appropriation

The request for the Salaries and Expenses Appropriation for the Superintendent of Documents represents an increase of approximately $3.7 million over the total funding approved for fiscal year 1990. The approved funding included $7.9 million in transfers from the GPO Revolving Fund, which were derived from net income generated by the Sales of Publications Program in fiscal years 1988 and 1989 and proceeds from the sale of land, and a reappropriation of $3 million in unexpended funds representing excess receipts from sales of publications that were transferred from the Revolving Fund in fiscal year 1986.

The increase for fiscal year 1991 is primarily for the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries in 1991, distribution of the bound Congressional Record in paper format to depository libraries, and to cover a projected 9-percent increase in postage.

Fiscal Year 1990 Program Reductions. For fiscal year 1990, in response to mandatory reductions to the Salaries and Expenses Appropriation totaling $286,000, cost reductions were developed to prevent the interruption of Superintendent of Documents programs and services required by law, including:

(1)	Reduce administrative overhead	$100,000
(2)	Reduce Documents internal overhead	50,000
(3)	Defer the purchase of modular in-plant office systems	20,000
(4)	Reduced number of titles available for distribution to Depository Libraries,	

International Exchange Libraries, and By-Law recipients, for cataloging due to the impact of Gramm-Rudman-Hollings on Federal agencies	46,000
(5) Reduce travel by 20 percent	15,000
(6) Reduce marketing support activities charged to the Salaries and Expenses Appropriation	55,000
Total	$286,000

Depository Distribution of the Bound Congressional Record. Funding for the distribution of paper copies of the bound Congressional Record has not been included in the Salaries and Expenses Appropriation since fiscal year 1986 in compliance with Gramm-Rudman-Hollings reductions. For fiscal year 1991, funding is being requested to perform this distribution.

International Exchange Program. Funds are included in the request for the International Exchange Program for expansion of the existing lighted-bin system, which serves the Depository Library Program, to accommodate distribution to international exchange libraries. The formats distributed to these libraries are currently 10 percent paper and 90 percent microfiche. This format ratio will not change as a result of the expansion. The expansion will require increased program costs for equipment and supplies, related engineering services, and automated data processing support.

Sales of Publications Net Income. Since fiscal year 1986, Congress has directed that net income from the sale of Government publications be used to offset the requirements for new budget authority in the Salaries and Expenses Appropriation. During fiscal year 1989, a total of $5.2 million in net income was generated by the Sales of Publications Program, an increase of 18 percent over the prior year due primarily to increased mail orders for Government publications. However, Congress has already transferred approximately $3.6 million of this amount to fund the fiscal year 1990 Salaries and Expenses Appropriation.

Accordingly, $1.6 million is available for this purpose for fiscal year 1991. In addition, a prior year adjustment to the net income for fiscal year 1988, totaling $640,000, is also available for transfer to the Salaries and Expenses Appropriation for fiscal year 1991.

Revolving Fund: Fiscal Year 1990 Program Reductions

For fiscal year 1990, in response to mandatory reductions to the administrative expenses of the Revolving Fund ordered by the Office of Management and Budget (OMB) pursuant to Gramm-Rudman-Hollings, cost reductions were devised that would cause the least amount of harm and disruption to the current level of operations. While the original OMB sequester order totaled approximately $2 million, the revised order issued in October reduced the sequestration to $537,000. However, in order to effectively reduce costs at GPO, including the burden of administrative expenses assigned to programs funded by annual appropriations, GPO formulated a plan to implement cost reductions to meet the original sequestration order, including:

(1)	Abolish non-critical positions	$325,000
(2)	Delay the filling of vacant positions	475,000
(3)	Delay of proposed Child Care Program	100,000
(4)	Reduce administrative travel by 20 percent	25,000
(5)	Reduce training and associated travel by 10 percent	60,000
(6)	Reduce subscriptions by 15 percent	15,000
(7)	Reduce overtime by 25 percent	60,000
(8)	Reduce performance and incentive awards by 10 percent	15,000
(9)	Reduction in estimated long-distance charges due to switching to a different carrier	200,000
(10)	Reduce purchases of equipment and services	344,000
(11)	Reduce planned consulting services	185,000
(12)	Reduction in estimated Accident Compensation costs from $5.2 million to $5 million	200,000
(13)	Cancel meetings of the Academic Advisory Council	30,000
	Total	$2,034,000

FTE Levels

Since fiscal year 1986, Congress has included a statutory ceiling on the employment of GPO FTE's in the authorizing language for the Revolving Fund. For fiscal year 1990, Congress directed that this ceiling be set at 5,000 FTE's. At this time GPO's FTE's are only 1 percent below this mandated level due to yearend retirements and lapses in filling necessary positions.

GPO's fiscal year 1990 actions in implementing cost reductions in accordance with the original OMB sequestration, together with continued modernization, will achieve a broad range of cost savings in all operational areas. Further reductions in personnel levels, however, will cut into GPO's ability to provide products and services required by law. As a result of decade-long reductions in staffing levels, GPO has reached the point at which any more reductions will impede product and service delivery. Therefore, our request for fiscal year 1991 is to maintain the statutory FTE level at 5,000. This will allow GPO to continue to fulfill its statutory obligations in a satisfactory and cost-effective manner.

FAR Revision

In 1987, a revision to the Federal Acquisition Regulations (FAR) was promulgated that would have permitted Executive Branch agencies to conduct their own in-house printing and printing procurement operations without the approval of the JCP, as required by Title 44, section 501(2). The revision was based on the Justice Department's opinion that the JCP approval requirement is unconstitutional under the Supreme Court's decision in INS v. Chadha, invalidating the legislative veto. The FAR revision, however, would establish a system of decentralized Federal printing and printing procurement that is unjustifiable from the standpoint of the legislative history of Title 44, current fiscal policy, and sound management principles. The effective date of the revision was July 1, 1987, but Congress blocked its implementation with prohibiting language contained in the Legislative Branch Appropriations Acts for fiscal years 1988, 1989, and 1990. In August 1988, in response to the Congressional prohibition, the FAR Secretariat requested comments on a proposal to withdraw the revision, but to date has taken no final withdrawal action.

In view of the fact that the proposal to withdraw the FAR revision has not been finalized, Congressional action will again be necessary to prevent its implementation. Accordingly, for fiscal year 1991 we are submitting the language prohibiting the implementation of the FAR revision that was included in previous Legislative Branch Appropriation Acts.

Uniform Allowances

For fiscal year 1991, we are submitting language to amend section 309(a) of Title 44, regarding the authorization to fund uniforms and uniform allowances under the Revolving Fund. The language would replace the limitation on the cost of uniforms and uniform allowances contained in section 5901(a) of Title 5 with language providing the Public Printer with authority to determine the amounts to be allocated for this purpose. The amendment would allow for adjustments in the cost of uniforms without legislative action and would be in accord with the requirements of GPO's personnel and pay system, which operates under the authority of the Public Printer. Concurrently, the $400 limitation on uniforms and uniform allowances contained in the Revolving Fund could be deleted.

Technical Changes

We are proposing language to make technical changes to archaic provisions of sections 1703 and 1707 of Title 44. The costs of "assistants, blanks, and printing and binding" for the Superintendent of Documents, under section 1703, are to be charged against the GPO Revolving Fund and the Salaries and

Expenses Appropriation to conform to current practice. Similarly, under section 1707, the cost of reprinting documents for sale is to be charged to the GPO Revolving Fund.

Public Printer's Pay Level

We are requesting an increase in the pay level of the Public Printer to re-establish parity between the pay levels of Legislative Branch agency heads, which is identical to the request which was submitted and discussed last year. Currently, the Public Printer's salary is set at Executive Level IV, as established by section 303 of Title 44. This is the equivalent of one grade level below the Librarian of Congress and the Architect of the Capitol.

Before 1983, the Public Printer's pay level was equal to those of the Librarian of Congress and the Architect of the Capitol. Equivalent pay levels for the three positions were contained in the Government Employees Salary Reform Act of 1964, establishing a "new, consistent, and rational salary structure for positions of the highest level in the Federal Government in the legislative, executive, and judicial branches." Pay equivalency for the three positions was retained in the recommendations of the Commission on Executive, Legislative, and Judicial Salaries in 1969 and again in 1977. In 1975 the equivalency of the Public Printer's pay level with the Librarian of Congress and the Architect of the Capitol was codified in Title 44 by P.L. 94-82. Pay equivalency among the three positions was eliminated in 1983, however, when the Librarian of Congress was raised to Executive Level III in a supplemental appropriation bill. The Architect of the Capitol's pay level was increased to Executive Level III at some other point in time.

In view of the similarity of the Public Printer's role to the roles of the Librarian of Congress and the Architect of the Capitol, and of the numbers of employees they supervise, currently there is a lack of parity in the designated pay levels. Therefore, we are proposing a technical change to section 303 that would advance the Public Printer's pay level to Executive Level III, and the pay of the Deputy Public Printer from Executive Level V to Executive Level IV. The change for the Deputy Public Printer will conform to other existing deputy agency head pay levels, at one grade below the agency head.

Status of Land Disposal

For fiscal year 1989, GPO was authorized, subject to the approval of the JCP, to dispose of a small parcel of land located at First Street and G Place NE. The American Psychological Association agreed to buy the land and the JCP approved the proposal to sell. The sale was finalized in October 1989 for approximately $513,000. In accordance with the direction of Congress, the proceeds of the sale were made available for transfer from the Revolving Fund to the Salaries and Expenses Appropriation for fiscal year 1990.

Congressional Record Program

House Report 101-179 (July 26, 1989), accompanying H.R. 3014, the Legislative Branch Appropriations Bill for fiscal year 1990, required GPO to "work with the [JCP] to insure that appropriate action is taken to revise Section 906 of Title 44, to achieve reductions in the costs of the bound Congressional Record and the entire Congressional Record Program," and, in cooperation with the House Postmaster, to "reduce the delivery of daily Congressional Records to no more than the established limitation or the number requested by the Member, whichever is less, and limit the number of copies printed accordingly."

In response, GPO reviewed those sections of Title 44 which authorize the distribution of the daily and bound editions of the Congressional Record, including section 906 (gratuitous or by-law distribution, which is charged to the Congressional Printing and Binding Appropriation and, for copies distributed to depository libraries, the Salaries and Expenses Appropriation), section 703 (JCP reprint authority for Congressional publications, which is charged to the Congressional Printing and Binding Appropriation), section 910 (public sales and subscriptions), and section 909 (exchange for Parliamentary Hansard, which is also charged to the Congressional Printing and Binding Appropriation), and compared the authorized distribution to current distribution levels. In the course of this review, we specifically looked for instances of distribution exceeding authorized and currently funded levels, in accordance with Rep. Porter's concern as expressed during last year's hearing.

The review found that fewer by-law copies than are authorized are actually being distributed. Even adjusted for current funding restrictions on distribution, approximately 21,900 by-law copies of the daily edition in paper format could be distributed under the current provisions of section 906. Actual by-law distribution, however, is approximately 13,300. Approximately 4,000 sets of the bound edition could be distributed, but less than 300 sets are on the current distribution list. Other than revising the current distribution list to remove any deceased ex-Members, we did not find any instances of distribution that exceeded the established limitation on the number of copies to which designated recipients are entitled.

However, the review noted a number of other problems with the current language authorizing the distribution of the Congressional Record, including the following:

- Under section 906 entitlements to both the daily and bound editions of the Congressional Record, some recipients are authorized copies by different parts of the section, while in other cases subunits of the same Congressional offices are specifically authorized to receive copies in addition to those authorized for the larger unit for official use. This presents an opportunity for consolidating and simplifying these parts of the section.

- The Delegate from American Samoa is not listed specifically as an authorized recipient whereas the Delegates from the District of Columbia, Guam, and the Virgin Islands are listed.

- Broadly-interpreted language under section 906 has resulted in expanded authorizations for distribution of by-law copies. Newspaper correspondents are currently authorized one copy each of the bound and daily editions, with not more than "four copies in all" to be sent to members of the same press bureau. In practice, this section has been interpreted to include periodical and radio and television correspondents, who with newspaper correspondents total hundreds of potential recipients.

- Section 906 continues to authorize the by-law distribution of the semimonthly edition which has been discontinued.

- Funding restrictions on the by-law distribution of the daily and bound editions, some of which have been in place for several years, are not reflected in authorizing language. For example, Senate and House "transferrable" copies and Member copies of the daily edition continue to be authorized at levels higher than those permitted by Gramm-Rudman-Hollings restrictions in place since fiscal year 1987. Home delivery of copies for Senators and Members is still authorized, although funding for such delivery has been restricted since fiscal year 1987.

- Current law provides opportunities for duplicate distribution of copies to the same recipient. Senate and House Members, for example, can receive by-law copies of the daily edition through section 906 provisions pertaining to member distribution, "transferrable" copies, floor distribution, and distribution performed under section 703. Similarly, House and Senate entities can receive copies under direct authorization, authorization for "transferrable" copies, and JCP distribution. Federal courts can receive by-law copies via provisions pertaining to Federal judges, Federal court libraries, depository library distribution, and, potentially, Senate and House "transferrable" copies. Federal agencies can receive copies through provisions pertaining to non-depository agency libraries and depository libraries.

- Section 906 currently authorizes the Library of Congress to receive 145 copies of the daily edition for distribution through the International Exchange Program (IEP), authorized by sections 1718 and 1719 of Title 44, yet the Library only receives 20 copies. This distribution is going out directly from GPO, all in microfiche.

Based on these findings, revisions could be made to section 906 and related provisions of Title 44 to recognize current publishing practice (e.g., no more semimonthly editions), long-standing funding restrictions, and current IEP distribution practice; consolidate current provisions of section 906 authorizing by-law distribution to the same recipients; and reduce or eliminate the potential for duplicative by-law distribution between sections 906, 909, 703, and chapter 19.

Together, these objectives may result in some reduction in the printing and distribution of the Congressional Record. The reduction is not likely to be significant, however, since current actual distribution falls short of what is authorized. Moreover, marginal reductions in distribution are not likely to lead to corresponding reductions in costs to the Congressional Record Program, but to an increase in unit costs for the remaining copies. However, a revised authorization for the by-law distribution of the Congressional Record could provide for closer control and accountability in this Program within the current climate of reducing Congressional printing and binding costs.

These findings were transmitted to the staff of the JCP. Subsequently, GPO followed up with suggested changes to section 906 to remedy the problems disclosed in our review, which also were transmitted to the JCP. These items are currently under JCP review.

Alkaline Paper

House Report 101-179 also required GPO, in consultation with the JCP, to "develop a plan to identify the extent, source, and types of archival type printing matter produced inhouse and acquired commercially by the GPO, or other agencies. The plan should also include a strategy and schedule to convert this printing to alkaline paper." The plan must be submitted to the Committees on Appropriations, the JCP, the Committee on House Administration, and the Senate Committee on Rules and Administration no later than February 1, 1990.

In response, a task force comprising GPO and JCP staff members has completed a plan which provides for a survey of Federal establishments to solicit input on the types of documents to be produced that have enduring value. Commencing in fiscal year 1991, the plan calls for a 10-percent annual phase-in of alkaline paper usage, described in terms of pounds, for Congressional publications, so that by the year 2000 alkaline paper will be the predominant type of paper used for Congressional products. For Executive Branch work, the plan calls for a 5-percent annual phase-in of alkaline paper usage, also described in terms of pounds, above the current base. This will apply to printed products procured from commercial contractors as well as blank paper sales to agencies and direct mill shipments. The plan includes operating guidelines and a 10-year timetable for actions to be followed to increase the usage of alkaline paper in the Government's publications.

In May 1989 we testified on GPO's efforts to increase the use of alkaline paper in Government publications before the Subcommittee on Science, Research, and Technology, House Committee on Science, Space, and Technology. In August 1989 we provided formal comments on H.J. Res 226, which would establish a national policy on permanent papers and which was introduced by Rep. Pat Williams, to Rep. Bob Wise, the Chairman of the Subcommittee on Government Information, Justice, and Agriculture, to which the bill was referred. Overall, our position on this matter is that GPO is prepared to accommodate the transition to increased use of alkaline paper Governmentwide. Consequently, we fully support the alkaline paper planning efforts initiated by the Subcommittee on Legislative Appropriations and, as we informed Rep. Wise, would support the proposed policy contained in H.J. Res. 226.

Recycled Paper

In a related matter, GPO has initiated an affirmative program for the procurement of recycled paper products, following guidelines issued by the Environmental Protection Agency (EPA) in June 1989 implementing section 6002(E) of the Resource Conservation and Recovery Act of 1976, as amended. Subsequently, approximately 88 percent of the paper, envelopes, and containers covered by the guidelines that were contracted for contained at least the minimum percentage of recovered materials as specified by EPA.

At the time the EPA guidelines were announced, we were concerned that there would be a potential conflict between those guidelines and the emerging national program to encourage the use of alkaline paper for preservation purposes. While there now appears to be no technical reason that alkaline paper cannot be produced from recycled fiber, it still appears that it may be in short supply, since there apparently are only a few paper mills currently producing such paper. However, we were encouraged to learn that Rep. Doug Walgren has introduced H.R. 3094, to make nonacidity a criterion that must be met by suppliers of recycled paper for printing and archival use by Federal agencies.

Telecommunications

In response to the concern expressed by the Subcommittee in House Report 101-179, regarding GPO's progress in improving telecommunications services, we are currently in the process of upgrading our telecommunications service with the acquisition of an integrated voice/data Private Automatic Branch Exchange (PABX) telecommunications system. This system conforms with the Legislative Branch Telecommunications Plan which was developed by the Architect of the Capitol. The upgrade will improve cost control, provide new features, and allow integrated voice and data processing. The Architect of the Capitol issued a Request for Quotation (RFQ) for the GPO PABX equipment, and GPO plans to make an award from the Architect's RFQ in the near future.

In accordance with the instructions of the Subcommittee, GPO has been a member of the Architect's telecommunications technical planning and coordination team since its inception. The Legislative Branch Telecommunications plan is strategic in nature and will be implemented over a number of years. GPO has participated in the development of interoperability standards and procedures such as for building wiring.

As part of the implementation phase, GPO is also working with the General Service Administration's (GSA) Telecommunications Technical Assistance Program to let an outside contract for the inventory of the existing telecommunications cable plant. This inventory and evaluation will determine the suitability of the cables for reuse with the new system. Space to house the main switch equipment in the Central Office complex and a small switch at GPO's Union Center Plaza offices has been assigned. GPO's Engineering Service will consult with the equipment contractor to develop specifications for the construction of the rooms to house the equipment to make sure the required facilities will be provided.

GPO is also in the process of changing from use of GSA's FTS long distance service to the MCI VNET long distance service. The Central Office change is scheduled to begin February 5, 1990, and will be completed about the middle of March 1990. The schedule to change GPO's regional offices has not yet been developed.

Small Disadvantaged Businesses

In compliance with Section 843 of P.L. 100-456, the 1989 National Defense Authorization Act, GPO established a 2-year test program to assist small disadvantaged businesses in winning printing and binding contracts for the Department of Defense. GPO worked with the Small Business Administration and several state minority development agencies to publicize this program, which initially was implemented in the Central Office, and contracts totaling $4.3 million were awarded by yearend. The program is being expanded to GPO's Regional Procurement offices this year.

GAO Audits

During fiscal year 1989, the General Accounting Office (GAO) initiated audits of various GPO activities at the request of this Subcommittee and the JCP.

The audit request of this Subcommittee concerned the need for GPO to pursue greater sharing of systems already in existence. Of primary interest was that GPO should conduct a cost-benefit study to share the payroll system of the National Finance Center, in New Orleans, LA. GPO is awaiting a final report from GAO on this subject.

At JCP urging, GAO initiated three audits with additional audit requests in the queue. The first was a full-scale examination of the fiscal year 1989 financial statements; the second, a detailed general management review of GPO's total organization; and the third, a review of selected areas of GPO's cash management practices. Only this last review has resulted in a written report at this time. Specifically, the report concentrated on GPO's undeposited collections as reported on its Statement of Accountability, and unreconciled cash differences that occur between GPO and Treasury. We will be taking the necessary actions to improve our control procedures in these two areas.

The financial audit will determine whether GPO's financial statements fairly present GPO's financial position, while the scope of the general management review will focus on GPO's operating environment, strategic planning, service delivery, organization, and accountability. We have been extremely open with the GAO auditors and look forward to any recommendations that will enhance our operational performance.

Cash Management Improvements

New efforts were directed toward the improvement of GPO's cash management practices during 1989, with notable success. A variety of financial management initiatives increased the value of prompt payment cash discounts taken, reduced the value of delinquent invoices, and expedited debt recovery. In addition, audits of GPO operations conducted by the Inspector General resulted in further recommendations to reduce costs and improve internal controls.

Of special note were improvements to cash management procedures in the Sales of Publications Program as a result of participation in the Treasury Department's Cash Management Program, involving accelerated collections of bookstore receipts, credit card collection services, and lockbox subscription order services, all provided at no cost to GPO. Recurring annual savings from this program are projected to exceed $1 million once they are fully implemented.

Cash collection was accelerated and the opportunities for loss or theft were reduced significantly by participation in the Treasury program. By yearend, 19 of GPO's bookstores and the Laurel distribution outlet had begun depositing daily collections in Treasury General Accounts maintained by commercial banks or in Federal Reserve or Branch banks, eliminating the mailing of collections to GPO's Central Office. Total bookstore participation will be implemented in 1990. This new cash collection system could save GPO $97,000 annually when fully operational.

As we noted briefly last year, the Sales Program's popular credit card services were improved by participation in the Treasury's credit card collection network, which in 1989 assumed the costs of credit card processing that formerly were paid by GPO. This service will save GPO approximately $170,000 per year, based on the value of bank processing fees paid by GPO in 1988.

In February, GPO began participation in Treasury's lockbox network with a pilot application for subscriptions to the newly formatted International Classification of Diseases, Volumes 1 and 2. Operating from a lockbox bank selected by Treasury, this service set a precedent for future subscription order processing by the Sales Program. Orders for this publication were received at the lockbox, monies were deposited daily into the Treasury under GPO's account, and data entry was accomplished daily by the lockbox bank. Provisions were also made for rapid transfer of order data to the Central Office. In 1989, the service handled orders for over 78,000 subscriptions, resulting in deposits of over $2.8 million to GPO's lockbox account. This workload could not have been handled in-house. Since that time, a second lockbox has been opened for the sale of tax forms and a third will be opened in early 1990 for subscription renewal orders. Lockbox utilization has improved efficiency and customer service and reduced customer complaints. Continued use of this service is projected to save GPO an estimated $764,000 per year.

Sales Publications Pricing Panel

In response to complaints that Government documents sold by the Superintendent of Documents Sales of Publications Program are too expensive, we recently established a Sales Publications Pricing Panel. Panel membership includes representatives of GPO, the library community, the JCP, and publishing agencies. The specific focus of the Panel will be to review various issues related to pricing mechanisms implemented pursuant to 44 U.S.C.

1708, under which publications are sold to the public "at cost, as determined by the Public Printer, plus 50 percent."

Electronic Dissemination Pilot Projects

The Government's continuing shift from ink-on-paper formats to electronic formats in information dissemination may reduce the flow of documents to depository libraries unless provisions are made for the depository distribution of information in electronic formats. We believe such action is necessary to avoid undermining the efficacy of the Depository Library Program and appropriations made for that purpose. In addition, electronic dissemination is necessary to provide for the increasing capability of depository libraries to make Government information in electronic formats available to their users, and to meet the growing public demand for access to information in these formats.

Last year we discussed with this Subcommittee GPO's development of five pilot projects to explore the feasibility and determine the costs of disseminating information in electronic formats to depository libraries. These pilot projects, three featuring CD-ROM distribution and two featuring online database dissemination, are models of some of the information services and capabilities that GPO envisions providing in the future. Generally, all of the projects are proceeding as planned. Their current status is as follows:

- Distribution of the Census CD-ROM test disk was made in September 1988 and May 1989.
- Pre-master tapes for the Environmental Protection Agency's (EPA) Toxic Release Inventory on CD-ROM are being held by GPO, pending receipt of instructions from EPA to proceed with disk mastering.
- CD-ROM software procurement is underway for the 1985 bound Congressional Record. Responses to GPO's Request for Proposals are due this month.
- We are awaiting printed copies of the information packet and related materials regarding the project for the online database dissemination of the Commerce Department's Economic Bulletin Board. These materials are scheduled for distribution to participating depository libraries this month.
- The Department of Energy (DOE) has been contacted regarding the status of the draft implementation plan for the DOE online database dissemination project. A memorandum providing advance notice of anticipated funding requirements has been circulated within GPO.

We have asked the GAO to monitor and evaluate the cost data generated by the pilot projects so that the full costs of the various methods of electronic dissemination to all depository libraries can be determined. When the pilot projects are completed, we will be in a position to evaluate whether the current funding mechanism for the Depository Library Program is adequate to meet the financial requirements of electronic dissemination, or whether alternative arrangements will have to be devised to meet the needs of depository library users.

As the Chairman of this Subcommittee noted in his June 1989 testimony before the Subcommittee on Procurement and Printing, there are indications that while CD-ROM dissemination may prove to be highly cost-effective as an electronic dissemination alternative, it may not be possible to fund online database dissemination within the limits of the Salaries and Expenses Appropriation. We are in complete agreement with this view. The potential costs of such dissemination were discussed in Informing the Nation, and they are a very real concern. Accordingly, the online pilot projects will also test the feasibility and cost impacts of cost-sharing.

The OTA report discussed a variety of alternatives for electronic depository dissemination. Among other things, this discussion clarified the important point that the Depository Library Program is and always has been a cooperative effort between the Government and participating libraries to meet the needs of Government information users. Within this system, the Government traditionally has borne the costs of creating, reproducing, and distributing information to depository libraries, while the libraries themselves have borne the costs to house, staff, and otherwise make Government information available to users. In GPO's view, therefore, the partners in this cooperative system should be prepared to discuss alternative methods of cost-sharing to provide for the reasonable and equitable distribution of the costs of access to online database services.

GPO Modernization Efforts

GPO's modernization activities continued throughout 1989 to improve product and service options for our customers. Our "dialup" composition service, featuring direct customer access to GPO's automated composition system, was expanded on Capitol Hill. In a new departure, we initiated distribution of our MICROCOMP Composition System, a software package that provides customers with their own capability to generate page proofs of databases that are compatible with GPO's principal composition system. Sales of publications in magnetic tape format increased over 1988, indicating a growing public interest in obtaining Government publications in alternative formats from GPO.

GPO's investment in the production and dissemination of such formats grew during 1989, with special emphasis on CD-ROM technology. A recent requisition for the procurement of the Defense Logistics Agency's Federal Logistics Data on CD-ROM will result in the largest single procurement of this technology for the Government to date. In addition, a combination of GPO in-house capabilities and commercial procurement will be used to meet the EPA's requirement for the 1987 Toxic Release Inventory in CD-ROM format.

Pre-press modernization activities were dominated in 1989 by the conversion to a state-of-the-art personal computer (PC)-based composition system that utilizes a DEC Net network. The new equipment and systems will replace our aging Atex systems, installed in 1978. With completion set for 1992, the conversion will reduce production time, improve reliability, enhance storage capacity, increase flexibility in staff utilization, and eventually provide for automated cost reporting and some automated proofreading functions.

Need for New Presses

A major feature of our ongoing modernization efforts involves the need to replace 15 obsolete offset sheetfed presses and the four aging web letterpresses used to print the Congressional Record and the Federal Register, three of which were installed in 1952. The 15 sheetfed presses would be replaced by two 32-page presses and a 16-page press. All four web letterpresses would be replaced by two 96-page web offset presses. Acquisition of these presses will provide for the reduction of 38 positions. Other benefits will include higher productivity and a meaningful and measurable increase in printing quality.

The need for new presses to print the Congressional Record and the Federal Register is particularly acute. As anyone who relies on these daily publications knows, blurred pages, illegible characters, and irregular ink coverage have become regular features of these publications. Deplorable as it is, this level of quality is the best that can be attained with the present equipment. Because of their age, the limited applicability and excessive costs of photopolymer plates, the increasing scarcity of trained letterpress operators, and the poor quality of the finished product, it is unrealistic, in my judgement, to envision the continued use of these presses. This replacement proposal, therefore, is critical to improving the quality and reducing the costs associated with GPO's Congressional Record and Federal Register programs.

However, the JCP has continued to withhold the necessary approvals for the 32-page and 16-page presses, pursuant to its authority under the JCP resolution dated April 9, 1987. Although the JCP originally authorized the replacement of the Record presses in 1986, that authority was withdrawn in December 1987. In August 1989 we sent a special request to the Chairman of the JCP imploring him to act on the outstanding request for the 32-page and 16-page presses, and to rescind the revocation of authorization to purchase the new 96-page presses. We will continue to appeal to the JCP for the necessary authority to proceed with these acquisitions which are essential to improving the cost-effectiveness and quality of work printed at GPO.

Relocation of the RRC

In fiscal year 1989 GPO lost $2.7 million in consolidated in-plant printing operations, due primarily to the loss sustained by GPO's Rapid Response Center (RRC), a separate production unit located at the Washington, DC, Navy Yard. Although there once was a justifiable need for the RRC, a declining workload has made it an expensive and inefficient operation that has outlived its purpose. This problem was recognized as long ago as 1983, when GPO sought the approval of the JCP to relocate RRC operations to the Central Office plant on North Capitol Street. Instead, the RRC was reconfigured to handle the workload that was expected to result from the planned closure of many agency printing plants. Unfortunately, the closings never occurred, leaving the RRC overequipped and overstaffed.

Since then, despite repeated efforts to improve the RRC, the plant has suffered a persistent downward trend in chargeable hours. Today, less than 5 percent of the RRC's total workload comprises the work of customer agencies which depend on the RRC for repetitive production. The remaining 95 percent is work that is diverted from GPO's Printing Procurement Program to keep the RRC marginally functioning. Because it is overequipped and overstaffed, the average hourly cost at the RRC today exceeds $36.00, compared to approximately $31.00 at the main plant on North Capitol Street. The high annual lease costs (currently about $1 million) charged by the GSA for RRC space also add to increased RRC rates. As a result, the RRC has suffered a decade of cumulative losses approaching $10 million.

Although GPO was able to absorb the RRC's losses in previous years, its precarious condition now jeopardizes the financial health of GPO's entire in-plant printing operation. Relocation of this separate unit to the main plant, with modifications to the operation to eliminate overlap and duplication with existing services, remains the most logical and sensible approach to resolving the RRC problem. This year GPO again asked the JCP for approval to relocate the RRC, but no action was taken. We will continue to press for the relocation to prevent further losses and eliminate this drain on the Government's printing dollar.

Need for a New Building

As we noted in testimony before this Subcommittee last year, there are continuing problems imposed by GPO's aging Central Office plant. Space limitations caused by low ceilings, support columns, and multiple stories restrict efficient materials handling operations and impede effective production equipment alignments. Substantial annual costs for buildings renovation and maintenance, as well as lease costs for the use of several satellite facilities in the metropolitan area for extra office and storage space, impose additional financial burdens on GPO. A modern in-line printing plant would increase productivity and eliminate these costs. As we also noted, GPO has begun an examination of various options for obtaining a new building, including a strategy for leveraging the value of current real estate holdings against the costs of constructing a new plant, and reviewing possible plant sites. The proposed termination of RRC operations at the Navy Yard and the upcoming expiration of GPO's 20-year lease at the Union Center Plaza facility in 1994 compel GPO to continue efforts on this project.

Child Care Center

Last year we informed the Subcommittee of our efforts to establish a GPO Child Care Center to help alleviate some of the burdens experienced by GPO's working parents. Employee surveys have indicated that we would require a child care operation to accommodate approximately 100 children. Planning for the Center has now progressed to the point at which we have submitted three alternatives for the review and approval of the JCP: renovation of a site in-house at the Central Office complex, rental of space off-site in the new Metropolitan Council of Governments building directly across North Capitol Street from the Central Office, and a stand-alone prefabricated building on GPO property. With any alternative, GPO would require about $125,000 for start-up costs, which would include furniture, playground equipment, a child care consultant, supplies, and employee salaries for 1 month. Savings from the delay of the Child Care Center, which have been included under the cost reductions proposed for the Revolving Fund for fiscal year 1990, have already been achieved since the start of the fiscal year.

Security Force Proposals

Over the last year we have been considering a proposal to consolidate GPO's Uniformed Police Branch with the U.S. Capitol Police Force to improve the cost-effectiveness of security in the Central Office complex area. Currently, approximately 1,400 GPO employees work at night. GPO employees have been the victims of a number of robberies and assaults while in the vicinity of GPO, including GPO's parking lots. We have also had incidents reported to our Security Service concerning robberies and assaults committed against the general public in the GPO vicinity. We have responded with increased security measures, such as the installation of additional lighting and remote cameras, but there is more that can be done. An important action that Congress can take to assist in alleviating this problem is to consider the consolidation of GPO's police force with the Capitol Police. This action may prove to be mutually beneficial and cost-effective through streamlining and coordinating our presently separate operations and resources.

GSBCA Decision Appeal

As this Subcommittee is aware, GPO's procurements of printing products for Federal agencies are undertaken in accordance with the provisions of 44 U.S.C. 502, which specifically subjects GPO's contracts to Congressional approval. The acquisition of automatic data processing equipment (ADPE), however, is undertaken by agencies pursuant to the exclusive (with a few exceptions) procurement authority provided to GSA by the Brooks Act (at 40 U.S.C. 759).

Many of the requirements of Federal agencies for modern printing services involve significant use of ADPE. These mixed-resource systems thus involve both printing and ADPE. It had been GPO's view that in 1976 Congress granted GPO a permanent exemption from the Brooks Act and, until recently, we maintained the position that our printing procurements, even if they involved some aspects of ADPE in an ancillary manner, were not subject to the provisions of the Brooks Act, but were under the control of the JCP. However, on December 20, 1989, the U.S. Court of Appeals for the Federal Circuit ruled that the exemption we received in 1976 was not permanent, but was effective only for fiscal year 1977.

With GPO's procurements now declared to be subject to the requirements of the Brooks Act, we are compelled to either turn to GSA for procurements which fall within the Act's broad guidelines, or to procure them ourselves with a delegation of procurement authority granted and controlled by GSA. Procurements conducted under GSA's authority would then, of course, be subject to the policy directives of that agency.

As GPO's printing procurement contracts are now subject to direct Congressional review and approval, we believe it is important for this Subcommittee to understand that further subjection of such contracts to GSA policy requirements could lead to a serious disruption in the Federal Printing Program whenever GSA policy is not in consonance with Congressional policy. In addition to this potential policy conflict, subjecting GPO's printing procurements to the additional procurement constraints imposed upon GSA procurements could impose serious, practical impediments to GPO's ability to deliver cost-effective and timely products and services to Congress, Federal agencies, and the public. For example, because these procurements would be conducted under Executive Branch authority, some of the practical problems we anticipate arising include the following:

- Under the FAR, solicitation for contracts estimated to exceed $25,000 must be publicized in the Commerce Business Daily a minimum of 45 days.
- All purchases over $25,000 will require implementation of acquisition planning procedures.
- Various non-competitive supply sources, such as the Federal Prison Industries and certain handicap workshops, must be utilized.
- Certain Small Business Act requirements will apply. For example, contracts will have to be set aside for small businesses. Small-business contractor responsibility will be determined by the Small Business Administration instead of GPO (thereby adding additional time and cost to GPO's procurement process).
- Various other acts, orders, and policies applicable to the Executive Branch will also then apply to GPO. Examples of these are the Paperwork Reduction Act, the Contract Disputes Act, the Prompt Payment Act, and others. Implementing these will involve numerous internal procedure changes.

A proper remedy to this problem may require enactment of corrective legislation to Title 44 which would ensure that both the interests and responsibilities of the JCP, for printing, and the GSA, for ADPE, are fully observed.

Revision of OMB Circular No. A-130

Last year we discussed with this Subcommittee OMB's interpretation of the term "publication," as found in Title 44, to exclude Government information in electronic formats. OMB used that interpretation in an "Advance Notice" published in the Federal Register in January 1989, proposing revisions to OMB Circular No. A-130 ("Management of Federal Information Resources"), to ignore GPO's responsibility to provide cost-effective dissemination services to Federal agencies. The notice also made no reference to GPO's statutory responsibilities for providing conventional printing and distribution services to agencies, despite the purported purpose of the Circular to assist agencies in "[performing] their information management activities in an efficient, effective, and economical manner."

We addressed these problems in comments on the "Advance Notice" which were delivered to OMB in April. In summary, our comments requested OMB to:

- advise agencies to utilize GPO's Sales of Publications Program to sell electronic publications to the public as an alternative to the proposed user fee system revision;
- enforce the law requiring agencies to provide GPO with copies of publications printed elsewhere than GPO for inclusion in the Depository Library Program;
- issue guidelines to agencies for the distribution of Government information in electronic formats through the Depository Library Program;
- issue guidelines strengthening agency compliance with the International Exchange and Cataloging and Indexing Programs, and to encourage agency utilization of GPO's Statutory and Agency Distribution Programs for the dissemination of information in electronic formats; and
- revise its guidelines prohibiting the addition of access and retrieval software to electronic information formats, especially CD-ROM.

Fortunately, the weight of public comments on the "Advance Notice" was sufficient to persuade OMB to withdraw it and initiate a thorough review of Circular No. A-130. We will continue to take the position that GPO's programs and services as established by law should be made part of any overall policy guidance provided to agencies on the reproduction and dissemination of Government information. There remains a substantial opportunity for cooperation between GPO and OMB in this public policy area that should be explored and developed.

Information Policy Act of 1989

We have several concerns with H.R. 2381, the Information Policy Act of 1989, which was introduced in May 1989. These were conveyed to the bill's sponsor, Rep. Bob Wise, Chairman of the Subcommittee on Government Information, Justice, and Agriculture, in testimony before the Subcommittee in July 1989, and in a letter dated November 27, 1989, to Rep. John Conyers, Chairman of the Subcommittee on Legislation and National Security, to which the bill was referred.

Although we agree with the intent of H.R. 2381 to provide OMB with specifically defined statutory authority to promulgate guidance for Federal agencies on information dissemination, many of the information dissemination responsibilities currently assigned to the Public Printer and the Superintendent of Documents by law would be undercut by this bill. As a result, H.R. 2381 would contravene the legislative intent of Title 44, which establishes a mechanism for the efficient, effective, and economical distribution of Government information to the public. This would lead to several problems:

- By permitting agencies to perform their own dissemination functions, H.R. 2381 would allow OMB to administer a highly decentralized patchwork of dissemination systems throughout the Government. The public thus would lose the convenience of obtaining Government publications from a single, popular resource currently available in the Superintendent of Documents.

- By requiring that information products and services be disseminated to depository libraries by agencies instead of the Superintendent of Documents, as required by 44 U.S.C. 1902, H.R. 2381 would impose substantial information acquisition, cataloging, and inventory problems on depository libraries.

- The cost-effectiveness of the dissemination system proposed by H.R. 2381 is doubtful, since it would permit fee waivers or reductions for generally-defined groups, unlike the current pricing system established by 44 U.S.C. 1708, which applies across the board to everyone.

- The requirement for OMB to develop a comprehensive index of Government information products and services undercuts the current responsibilities of the Superintendent of Documents under 44 U.S.C. 1710.

- H.R. 2381 would assign to OMB the responsibility for taking a leadership role in establishing and promoting the use of Governmentwide database standards for information reproduction and dissemination. This part of the bill could have a major impact on GPO operations, because it would provide OMB with the ability to determine GPO's future equipment, systems, and procedural requirements by mandating the standards that GPO's customer agencies would have to use. Without greater GPO participation in the standards-setting process, standards could result that would require a major capital investment program by GPO, in combination with significant workforce staffing, training, and recruitment impacts.

H.R. 2381 could be made a great deal more acceptable if it included guidance for Federal agencies to use GPO programs and services established by law, as well as provisions for greater GPO participation in the standards-setting process. Fortunately, H.R. 3695, the Paperwork Reduction and Federal Information Resources Management Act of 1989 (November 17, 1989), has substantially achieved the first of these objectives, and includes no reference to standards-setting. Accordingly, we regard that bill as more acceptable to GPO than H.R. 2381.

Paperwork Reduction Act Reauthorization

During the year GPO participated in the development of legislation to reauthorize the provisions of the Paperwork Reduction Act, included in chapter 35 of Title 44. Although GPO is not covered by the Act itself, our attention was drawn to this process by the inclusion in the draft bill of provisions establishing statutory guidelines to be followed by OMB in the issuance of any information dissemination policy directives. As originally proposed, this section of the draft bill was virtually identical to the provisions of H.R. 2381. Subsequently, we met several times with staff of the Subcommittee on Government Information, Justice, and Agriculture to discuss the draft language. These meetings were successful. For the most part, GPO's concerns were adequately addressed in changes to the language of the draft bill, and where it was not possible to work out acceptable language, as in the case of the provision regarding standards-setting, the objectionable language was dropped.

H.R. 3695 retains the language we agreed upon with the Subcommittee staff. Of particular interest to GPO are the provisions of section 103, which would require any information dissemination guidelines issued by OMB to "supplement and not replace the provisions of chapters 1, 5, 11, 13, 15, 17, and 19 of Title 44." Further, any such guidelines would require agencies to:

- provide to the Superintendent of Documents, for distribution to the Federal Depository Library Program, all Government publications required by chapter 19 to be made available, including Government publications in electronic formats;

- utilize GPO for the production and dissemination of information products and services, to the extent provided by chapters 5, 17, and 19 of Title 44; and

- provide advance notice to the Superintendent of Documents before taking any action to initiate, terminate, or significantly modify a public information product or service, and to the Public Printer before establishing a new information sales or dissemination program.

As H.R. 3695 now stands, we believe that many of the ill-conceived information policy positions which OMB has adopted in the past will be prevented should the bill become law.

Title 44 Revision

Last year GPO also participated in hearings conducted in May and June, 1989, before the House Subcommittee on Procurement and Printing on the public printing and documents chapters of Title 44. As the first major legislative oversight of Title 44 to be conducted in a decade, these hearings made an important contribution to an understanding of the issues confronting Government information reproduction and dissemination policy today. As a result of those hearings, draft legislation to revise and modernize chapters 5, 17, and 19 of Title 44 was developed and circulated. We recently provided comments on this draft legislation in a letter to Rep. Jim Bates, the Subcommittee Chairman, dated January 11, 1990.

The draft bill currently being circulated would make a number of changes to Title 44 that we believe are necessary. Specifically, it would:

- clarify GPO's authority to reproduce in-house, or contract for the reproduction of, Government information products, including electronic information products, by redefining the term "printing" currently found at section 501;
- add a new definition of "publication," as found in chapter 17, to include electronic information products (including magnetic tapes, CD-ROM, and similar technologies), thereby clarifying GPO's authority to disseminate information in such formats through various Superintendent of Documents programs, including the Sales of Publications Program;
- expand the statutory purpose of the Governmentwide index, found at section 1710, to include both publications and information about electronic information services (including online database services and related technologies) that are available to the public;
- redefine "Government publication" in section 1901 to include electronic information products, thus clarifying GPO's authority to disseminate Government information in such formats through the Depository Library Program; and
- require the establishment of cost-sharing agreements for the dissemination of electronic information services through the Depository Library Program.

We agree with the objectives of this draft bill, particularly the new provision calling for cost-sharing. However, we are concerned that this draft differs substantially from the language of the rough draft bills amending Title 44, dated July 18, 1989 and August 2, 1989, that were circulated last summer, each of which we view as proposing a more comprehensive solution to the problems and opportunities confronting GPO today. A comparison of the earlier drafts to the recent draft indicates the following:

- A basic objective of the earlier drafts was to strengthen Congressional intent regarding the centralization of conventional Government printing in GPO. This was done by incorporating language from section 309 of the Legislative Branch Appropriations Acts for 1988, 1989, and 1990, blocking the implementation of the 1987 Federal Acquisition Regulation (FAR) revision that would have resulted in uncontrolled waste and duplication of effort in Government printing. Similar language is not included in the recent draft bill. We believe the prohibition of the FAR revision needs to be made permanent, since it currently is subject to annual reauthorization through the appropriations process.

- In a related matter, the earlier drafts imposed a $500 cap on small printing purchases that agencies can make under section 504 of current law, but the recent draft contains no similar provision. A cap of $1,000 is included in the statutory prohibition on the implementation of the FAR revision for fiscal year 1990, and will expire if not renewed for fiscal year 1991. A cap is also included in the Government Printing and Binding Regulations issued by the JCP, but compliance with the regulations by Executive branch agencies may be subject to challenge under the Supreme Court's decision in INS v. Chadha, invalidating the legislative veto. As GPO pointed out in testimony before the Subcommittee on Procurement and Printing, we procure a significant amount of printing in the $500-$2,000 range on behalf of Federal agencies. If there is no effective cap on small printing purchases, agencies will be less inclined to use GPO's Printing Procurement Program, which has been demonstrated to be the most cost-effective means for the Government to obtain its printing needs.

- The earlier drafts explicitly extended the Public Printer's printing procurement authority, under section 502 of current law, to cover "information products and services." The recent draft would extend that authority only to "information products," excluding specific reference to online database services and related technologies. We believe the more inclusive language is necessary to clarify GPO's authority to procure services such as comprehensive electronic publishing packages, which GPO has been doing since 1984.

- The earlier drafts defined "publication," as used throughout chapter 17, to include both "information products and services." The recent draft, however, limits the definition to "information products." Without the specific inclusion of "information services" in the definition, the authority of the Superintendent of Documents to sell and otherwise distribute online database services and related technologies through programs authorized by chapter 17 will be open to question.

- Regarding proposed changes to section 1710, concerning the index of Government publications, the earlier drafts provide a clear outline of how the index is to be developed and maintained, including a requirement that it be made available electronically. These requirements generally conform to the position taken by the Office of Technology Assessment (OTA) in Informing the Nation, which suggested the development of an electronic, Governmentwide index to Federal information products and services by GPO. The earlier drafts also include provisions to ensure that the index is truly comprehensive by requiring timely reporting on publications by the Public Printer and, in place of the weak reporting requirement for agencies, by OMB. The recent draft, however, does not include a requirement to make the index available electronically. While it would require the index to include descriptions of "information services," it does not strengthen the reporting requirements for agencies beyond what is required in current law. Thus, the index is likely to continue to face a significant "fugitive" document problem which could affect indexing for all kinds of information products and services.

- Both the earlier and the recent drafts propose changes to the definition of "Government publication" as it applies to chapter 19, covering the Depository Library Program. The earlier drafts would extend the definition to include both "information products and services." The recent draft, however, would limit the definition to "information products" only. In this respect, the recent draft falls significantly short of (a) current practice in the Depository Library Program, which is testing the feasibility of online database dissemination to depository libraries; (b) the opinion of GPO's General Counsel concerning the meaning of 44 U.S.C. 1901, dated May 23, 1989, and submitted for the record during the hearings on Title 44, which did not limit the definition of "Government publication" to format; and (c) section 103(c)(2)(B)(ii) of H.R. 3695, which would require agencies to include Government publications in electronic formats among the types of information that are eligible for distribution to depository libraries. The language of H.R. 3695 clearly accords with current Depository Library Program practice and the opinion of GPO's General Counsel, neither of which make any distinction based on format as to which Government publications are subject to distribution to depository libraries.

> Unfortunately, the language of the recent draft would set a precedent for injecting format-based distinctions into future determinations about which kinds of information qualify for inclusion in the Depository Library Program. If there is concern that the inclusion of "information services" in the chapter 19 definition of "Government publication" would prove to be costly and impracticable, there is already a mechanism for winnowing out the services that would be made available under section 1914 of current law (this was discussed in the General Counsel's opinion). More important, the provision included in the recent draft for cost-sharing would minimize direct costs to GPO and enhance the workability of information service provision to depository libraries.

Overall, we believe there are significant strengths to the earlier draft bills that do not appear in the draft currently being circulated. Because it does contain a number of provisions GPO has called for, we would certainly support this current draft. However, we believe the opportunity now exists to effect a substantial modernization of the public printing and documents chapters of Title 44. Accordingly, we urge Congress to reconsider the strengths of the earlier drafts for possible inclusion in any legislation that may be introduced.

Mr. Chairman, this concludes my prepared statement, and I would be pleased to answer any questions the Subcommittee may have.

ADDENDUM TO PREPARED TESTIMONY

Following the submission of GPO's prepared testimony, H.R. 3849, the Government Printing Office Improvement Act of 1990, was introduced by Rep. Jim Bates on January 23, 1990. This bill would define "printing," for the purposes of section 501 of Title 44, to include conventional printing and reproduction processes. GPO has no overriding objection to this provision. H.R. 3849 also incorporates a permanent prohibition on the implementation of the 1987 FAR revision that was discussed in GPO's letter to Rep. Bates, dated January 11, 1990, and would explicitly authorize the procurement of "information products *and services*" [emphasis added] by GPO on behalf of Federal agencies from private sector firms. All of the other comments contained in GPO's January 11 letter to Rep. Bates, however, are pertinent to H.R. 3849.

Mrs. BOGGS. Thank you. It has been a two-way street. We have been pleased to have you appear before this committee. We have admired your work. We thank you very much for a job well done and for the gracious testimony and full testimony before this committee.

ACID-FREE PAPER

Mr. YATES. Sir, would you give us an overview of how the GPO is attacking or handling or dealing with the problem of using less acid paper for documents?

Mr. JENIFER. Some of our paper procurements include specifications for non-acid paper. Any customer that needs this type of paper can request it in their printing requisitions and we will ensure they get it.

At present, roughly 60 percent of the paper we are procuring is acid free paper.

Mr. YATES. Acidic?

Mr. JENIFER. Acid free or alkaline paper.

Mr. YATES. Is that a greater percentage than last year?

Mr. JENIFER. Yes, sir. Paper mills are producing alkaline paper at a greater rate than they were in the past. It seems to be a trend in the industry.

Mr. YATES. I think that is more desirable. Is it more expensive to buy alkaline paper than acidic?

Mr. JENIFER. The cost of alkaline paper has been running competitively with acid paper.

Mr. YATES. Roughly about the same?

Mr. JENIFER. Roughly about the same.

Mr. YATES. Can you tell us whether GPO is pressing your publishers to persuade them to use more alkaline paper for Congressional documents?

Mr. JENIFER. We are. There is a constant discussion in this area, and particularly in talking with prospective customers. We are spreading information about alkaline paper in our contracts and we are doing it verbally in our daily contacts with customers.

Mr. YATES. Do you find you are receiving a friendly reception?

Mr. JENIFER. I believe we are. It has become an accepted fact now.

Mr. YATES. Are more and more of the paper and printing companies using alkaline paper for their purposes as well?

Mr. JENIFER. I think it is a trend in the industry.

Mr. YATES. It is. Well, that is good because when you consider what is happening to the books in the libraries of the country and to Congressional papers in the past, I think it is well that we preserve this aspect of our civilization for the future.

Thank you, Madam Chairwoman.

Mrs. BOGGS. Mr. Yates, at your and other Members' of the committee insistence, last year the Committee's report directed the GPO, in consultation with the Joint Committee on Printing, to develop a plan to identify the extent, source and types of archival-type printing produced in-house and acquired commercially by the GPO.

We thank you for carrying out that mandate so specifically.

Mr. **Jenifer**. Thank you.

BUDGET REQUEST

Mrs. **Boggs**. The 1991 budget, as submitted, totals $112.8 million, which is an increase of $14.4 million over the 1990 level after adjustments are reflected. There are two accounts involved: the Congressional Printing and Binding Appropriation and the Superintendent of Documents Salaries and Expenses Appropriation. In addition, we annually authorize the Revolving Fund operations, as required by law.

To a large extent you simply have to turn out the work we give you or that you get from the Executive Branch. There is flexibility on contracting versus in-house printing. Do you have any strong feelings one way or the other on that?

Mr. **Jenifer**. We attempt to keep a balance of work to insure that our people are employed on a full-time basis, particularly at periods of time when Congress is not in session. If you look at what transpired in 1989, we probably had the highest rate of procurement in the history of GPO from the private sector.

Approximately 80 percent of our work was procured from the private sector last year, but we were able to do that and still maintain a good balance of work to keep our people fully employed and produce the services that the Congress requires.

Mrs. **Boggs**. The GPO has made extensive use of new printing technology. If you look at the operations, do you see opportunities to make even more intensive use of cost-saving technology?

Mr. **Jenifer**. Yes, I do. We are constantly looking at areas where we can decrease the labor-intensive functions we have in our operations. We have submitted a plan to our Oversight Committee that would allow us to modernize our press room which we feel would bring about quite a large savings.

We are constantly reviewing our technology and labor-intensive areas, such as the bindery and composition areas, for opportunities to modernize and reduce our costs.

CONGRESSIONAL PRINTING AND BINDING

Mrs. **Boggs**. The request for Congressional Printing and Binding is $84.9 million. This includes the cost of printing hearings, bills, reports and so forth for the Congress and the so-called By-law costs. That is printing done under statute for the Executive Branch and the Judiciary.

How much is in the budget for each purpose?

Mr. **Jenifer**. I would have to ask my financial advisor if he has those figures in front of him.

Mr. **Muldoon**. We would have to provide that specific detail for the record. We incorporate everything within the overall budget by product type.

We would have to get you those specific details.

Mrs. **Boggs**. Thank you.

[The information follows:]

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION ESTIMATED REQUIREMENTS BY CATEGORY AND BRANCH OF GOVERNMENT FOR FISCAL YEAR 1991

[In thousand of dollars]

Category	Estimated requirement	By-law by branch[1]		
		Executive	Judiciary	Other
Congressional record program	19,365	75	23	1,433
Bound Record	4,025	33	16	41
Daily	12,580	38	6	1,270
Index	1,104	4	1	122
Record Indexers	1,656			
Miscellaneous publications	4,160	124		296
Miscellaneous printing and binding	13,464			
Details to Congress	4,830			
Doc. env. and doc. franks	1,449			
Business and comm. calendars	1,782	1		3
Bills, resolutions, and amend	9,900	130	2	25
Committee reports	2,800	1	1	3
Documents	1,696	5		3
Hearings	19,304			
Committee prints	3,150			
Preceding fiscal year's obligations	3,000			
Total	84,900	336	26	1,763

[1] By-law distribution refers to recipients other than Congress or the Library of Congress. The Congressional Printing and Binding Appropriation request includes funding for the distribution of publications to recipients other than Congress, including the Judiciary, Executive Agencies and other recipients, such as governors and other public agencies and institutions. Copies of the Congressional Record distributed to governors and other agencies and institutions are included in the Other column of the table above.

BOUND CONGRESSIONAL RECORD

Mrs. BOGGS. You show an estimate of a bound Record of $4,025,000. We have not funded this program for several years, but you have continued to do the work with available funds. How much have you been allocating for this program?

Mr. JENIFER. What we have been doing is producing it from available funds.

Mr. MULDOON. To date we have been able, as directed, to fund the printing and binding of the bound Record out of available funds. Since 1986 we have not had any funds directly appropriated for this publication which is estimated to cost about $20 million for 1986 through 1990.

We have been able to fund whatever has been produced to date out of available funds.

Mrs. BOGGS. I noticed in your testimony, your written testimony, that all the bound editions of the Congressional Record through 1982 have been delivered to Congress. With the exception of the index, all of the volumes for the 1983 and 1984 editions have been completed and delivered to Congress, as have all the volumes for the 1985 edition, except the index and digest.

For the 1986 edition, comprising 25 volumes including the index and digest, all but seven volumes have been completed, and so on. I think that shows what you have been doing with the monies that you have available.

Mr. JENIFER. We have been producing, Madam Chairwoman.

Mrs. BOGGS. There is some question on the part of the Committee that it is a questionable expense producing these expensive bound

Records. We prohibited the Members of the House from receiving them for years.

How many others are eligible to receive this document?

Mr. JENIFER. Could we produce that exact figure for the record, Madam Chairwoman? It will take a few minutes to give you the numbers authorized.

[The information follows:]

The following table indicates the total number of copies of the bound Congressional Record authorized by Title 44 U.S.C. section 906, although actual distribution is considerably less:

Authorized number of copies of Bound Congressional Record

	Number of copies
Copies paid for by Congressional Printing and Binding Appropriation:	
Senate:	
Senators, Vice President, Secretary and Sergeant at Arms	509
Joint Committee on Printing	100
Senate Library	15
Various Senate Officials	7
House:	
Publications Distribution Service, for Joint Committee on Printing	1,308
House Library	28
Various House Officials	14
Independent Agencies and Departments	76
Governors	70
Library of Congress	150
Libraries, U.S. Courts	114
Newspaper Correspondents	1,499
Supreme Court Library	5
Total	3,895

Mrs. BOGGS. There are, of course, alternatives to the bound Record. There is microfiche and now the CD-ROMs. How is the CD-ROM project progressing?

Mr. JENIFER. We are experimenting on a regular basis. We are procuring products for our customer agencies in that format. The Congressional Record bound edition pilot project is moving along as has been reported. There are some details that we do have to work out with the Joint Committee on Printing.

We do anticipate not just the bound Congressional Record being on CD-ROM, but eventually quite a few of our products will be produced in that format.

I would like to add something else on the bound Record CD-ROM project. Currently, that project is being funded out of existing funds for the Depository Library Distribution Program.

Mrs. BOGGS. How much would be saved for each annual bound edition if we decided not to print it and gave everyone instead a fiche or a CD-ROM version?

Mr. JENIFER. We mentioned last year that in converting to a CD-ROM product, there would be about a $900,000 savings.

Mrs. BOGGS. We also question the number of these bound Records authorized. For example, the House and Senate Libraries received five and four copies, respectively. I would think one would be sufficient for each. Would you have someone look into that?

Mr. JENIFER. I definitely would. I think right now, for example, there are three authorized per Representative, and there are three authorized for the Resident Commissioner. They are not funded, however.

Mrs. BOGGS. Also, 43 copies for independent agencies are charged against this appropriation. Would you list those agencies for us and also survey them to determine their usage and the feasibility of substituting or cancelling the bound Record for these agencies?

Mr. JENIFER. We will gladly do that for you, Madam Chairwoman, and submit it for the record.

[The information follows:]

[CLERK'S NOTE.—The Government Printing Office supplied the following information for the record:]

The House Library currently receives five copies of the bound Record. The House Librarian stated that the five copies are necessary due to extensive use by House Members now that they do not receive individual copies. However, it should be noted that the number is substantially less than the 28 authorized by law. The Senate Library presently receives three copies of the bound Record, decreased from four last year. The Librarian stated that the three copies are necessary, however, conversion to CD-ROM is a possibility in the future. The number is substantially less than the 15 authorized by law. The 25 copies for the Library of Congress are necessary for official use.

In addition to the 42 copies for independent agencies, there are 12 copies being distributed to departments. GPO surveyed a total of 47 organizations from the distribution lists. Of those surveyed, four agencies and/or departments (U.S. Information Agency, Farm Credit Administration, Department of Commerce, and Department of Energy) cancelled their request for the bound Record. Most recipients surveyed prefer paper copies to microfiche, and two recipients expressed an interest in CD-ROM.

The current distribution list for independent agenices totals 42 copies, as listed below:

Executive Office of President (3)
Research Assistant, Office of Vice President (1)
General Accounting Office (1)
Government Printing Office (2)
American Red Cross (1)
Appalachian Region Commission Library (1)
Department of Energy (1)
Equal Employment Opportunity Commission (1)
Census (1)
Library, U.S. Court of Appeals for the Federal Circuit (1)
DC Commissioners (1)
Export-Import Bank (1)
Democratic National Committee (1)
Federal Communication Commission (1)
Federal Deposit Insurance Corp. (1)
Federal Home Loan Bank Board (1)
Federal Maritime Commission (1)
Federal Reserve System (1)
Federal Trade Commission (1)
General Services Administration (1)
Archives Library (1)
Housing and Urban Development (1)
Interstate Commerce Commission (1)
Farm Credit Administration (1)
National Labor Relations Board (1)
National Aeronautics and Space Administration (1)
National Science Foundation (1)
Office of Management and Budget (1)
Office of Personnel Management (1)
Organization of American States (1)
Railroad Retirement Board (1)
Security and Exchange Commission (1)
Selective Service System (1)
Small Business Administration (1)
Smithsonian Institution (1)

Tennessee Valley Authority (1)
U.S. Information Agency (1)
U.S. International Trade Commission (1)
Veterans Administration (1)

Mrs. BOGGS. The same for the Library of Congress. They get 25 copies. I have several questions that we will submit for the record.

[The questions and responses follow:]

BOUND RECORDS

Question. How much does it cost to print, bind, and distribute each bound Record?

Response. The estimated cost to print, bind, and distribute the bound Record varies based on the estimated number of pages to be printed. The estimated cost to be charged against the Congressional Printing and Binding Appropriation for copies of the bound Records and the incremental costs for each set of the bound Record for FY's 1986 through 1991 are as follows:

Fiscal Year	Estimated cost	Incremental costs
1986	$4,200,000	$810
1987	4,346,000	790
1988	4,070,000	710
1989	4,300,000	750
1990	4,070,000	710
1991	4,025,000	670

Question. What will be the consequence if we do not provide this $4 million?

Response. In view of the time delay between funding and completion of this publication, Congress has deferred funding for the bound Congressional Record from 1986 through 1990. GPO has worked on the publications, as necessary, using available funds. However, based on present production schedules and present unexpended balances, it is unlikely that bound Congressional Record funding can continue to be deferred if this publication is to be continued in its present form.

The amounts deferred for fiscal years 1986, 1987, 1988, 1989, and 1990 bound Records total $20,986,000. The work performed thus far on these five bound Records amount to a little more than $6.4 million. Advance billings of $6 million have been made for the FY 1986 and FY 1987 bound Records. GPO has been able to obligate substantial funds for the 1986 and 1987 Congressional Printing and Binding Appropriations Accounts for producing the 1986 and 1987 bound Congressional Records. However, when these publications are complete and final cost data is available, it may be necessary to request additional funding for them. It is anticipated that the 1988 bound Congressional Record will be completed and billed this year. Because the 1988 account is exhausted, it will be necessary to charge this publication to unexpended balances in the 1989 or 1990 Congressional Printing and Binding Appropriations Accounts. Therefore, it may be necessary to request additional funding for the final cost of this publication in the 1992 budget. Depending on production schedules and funding availability, similar funding requests my be necessary for the 1989 through 1990 bound Congressional Records. Total deferred funding for the bound Congressional Records for fiscal years 1988 through 1990 are estimated to total $12.4 million.

Question. Update the tabulations on pages 584-585 of last year's hearings.

Response. The requested tables follow:

Distribution of Bound Congressional Record (100th Cong. 2d sess.)

Recipient:	*Number of copies*
Copies paid for by Congressional Printing and Binding Appropriation:	
Senate:	
Senators, Vice President, Secretary and Sergeant at Arms	87
Joint Committee on Printing	25
Senate Library	3
Various Senate Officials	5

House:	
Publications Distribution Service, for Joint Committee on Printing	25
House Library	5
Various House Officials	6
Independent Agencies	42
Governors	29
Library of Congress	25
Libraries, U.S. Courts	20
Newspaper Correspondents	11
Departments	12
Supreme Court Library	4
Subtotal	299
Copies paid for by others:	
Depository Libraries	2
Sales	100
Departments	96
Subtotal	198
Total	497

Comparison of authorized to actual distribution and payment of the Daily Congressional Record—as of January 1, 1990

Recipient and number authorized:	Number of copies
Bylaw copies paid for by the Congressional Printing and Binding Appropriation:	
House Members, 2 each (880)	780
Senators and Vice President, 2 each (202)	202
Congressional committees, JCP requisition and bylaw	2,435
House constituents, 25 per Member (11,000)	7,319
Senate constituents, 37 per Senator (3,700)	2,997
Ex-Members of Congress, 1 each	157
Correspondents, 1 each	183
Government Printing Office, 75	35
Independent agencies, 2 each	37
Government agencies, various	175
Judges, 1 each	33
Subtotal	14,353
Copies paid for by others:	
Depository Libraries, as required (1,394)	957
Government Agencies, by requisition	2,515
Superintendent of Documents, by requisition	3,129
Subtotal	6,601
Total	20,954

Question. How are you progressing on the permanent edition of the Record? You have been directed to use available funds to the maximum extent. Do you see a need for requesting additional funds for this version of the Record other than the amount in this request to cover FY 1991 requirements?

Response. All of the bound editions of the *Congressional Record* through 1982 have been completed and delivered to Congress. With the exception of their Indexes, all of the volumes for the 1983 and 1984 editions have also been completed and delivered to Congress, as have all of the volumes for the 1985 edition, except for the Index and Digest. For the 1986 edition, comprising 25 volumes including the Index and Digest, all but 7 volumes have been completed and delivered to Congress. For the 1987 edition, comprising 26 volumes including the Index and Digest, 7 volumes have been completed and delivered. Four of the remaining volumes are still in prepress production, while all others are in various stages of printing and binding. All work on the 1987 edition is expected to be completed this year. Two of the 22 volumes of the 1988 edition have been completed and delivered to Congress, while 2 others are still in pre-press production. The remaining 18 volumes are in the binding area. Work on all volumes of the 1988 edition is also expected to be completed this year. Pre-press production has been initiated on the 1989 edition.

Although funding for the bound editions of the *Congressional Record* for 1986 through 1990 has been deferred, GPO has been directed by Congress to perform work on these publications using available funds. However, it may become necessary to request additional funds in the future to complete this work.

DETAILS TO CONGRESS

Mrs. Boggs. Last year we asked that the assignment of details to the Special and Select Committees be combined. Based on the number of hearings and reports they have produced and the usual, more flexible deadlines for publishing these products, there are some questions as to whether or not the GPO could provide a coordinated in-house service to these committees.

Frankly, the proposal we were informally presented with would probably have ended up costing more, not a savings at all. I would like you to see if a little fresh thinking might come up with a better solution. Please report your findings to us. That is a request of Chairman Fazio.

Mr. Jenifer. I would like to respond to that. Right now, there is an effort being undertaken between GPO and the JCP. As I reported and have mentioned in the past, we at GPO do not control the details. There is a concerted effort with the JCP staff and my staff to develop a more comprehensive way of servicing the Congress in this area.

Mrs. Boggs. I will insert in the record the remaining questions on Congressional Printing and Binding.

[The questions and responses follow:]

Price Level Increases

Question. The most striking feature of your budget is the number of rate increases over 1990 primarily because FY 1990 rates were reduced as part of mandatory reductions. That is, for sequestration and drug war across-the-board reductions. If you were able to make those adjustments because funding was reduced, why can't they be projected into FY 1991? For example, the miscellaneous publications budget is up 13%, although you expect only an increase of 4% in the page volume.

Response. To achieve the necessary budget reductions in fiscal year 1990, reductions have been made in unit rates charged for Congressional work, many below levels charged for the same work performed in fiscal year 1989. These are expected to under-recover the cost of Congressional work performed.

While GPO can compensate for under-recovery this year to accommodate necessary reductions in funding, this policy cannot be continued in subsequent years without resulting in the need to request supplemental appropriations or increased funding to cover prior-year obligations. Accordingly, it is necessary to restore unit rates to levels that will fully recover the costs of Congressional Printing and Binding in fiscal year 1991. Along with other administrative cost reductions and cost savings achieved through continued modernization, future unit rates for Congressional work will be stabilized. The net effect of rate increases after adjustments for the mandatory reductions is an increase of about six percent over the FY 1990 funding level.

Question. We also see a 21% increase in the "details to Congress" estimated cost per unit and the total cost up by $828 thousand. But you only project a 6.2% increase in work hours. And that hours increase is questionable since the end of this session will probably occur in early October. Can you account for that disproportionate increase?

Response. Volume estimates for all categories of Congressional Printing and Binding work are based on historical trends taking into consideration factors such as first and second sessions of Congress and first year of presidential term, etc. According to GPO records, Congress adjourned December 22, 1987, (FY 1988). The total number of hours reported for "details to Congress" were about 141,000 for FY 1988.

Congress adjourned October 21, 1988, (FY 1989). The total number of hours reported for "details to Congress" were about 145,000 for FY 1989. The printing and binding workload may sometimes be heaviest during a Congressional recess. The FY 1991 estimate of 138,000 hours is less than the actual for any year on record. The 1991 estimate is more than the 1990 estimate because the 1990 estimate reflects mandatory reductions in the 1990 program. The estimated hourly rate for "details to Congress" is 9% more than the initial FY 1990 estimate which was effected by the mandatory reductions. The estimated rate of $35 per hour is based on FY 1989 actual.

Question. Can you explain the significance of the need for an additional $3.0 million to cover FY 1988 obligations?

Response. GPO's Congressional Printing and Binding account balances are insufficient to fund all outstanding obligations through fiscal year 1989, as the result of unanticipated and unusually heavy demand in fiscal year 1988. In that year, daily *Congressional Record* pages were estimated at 37,000, but a total of 40,800 pages were actually printed. Similarly, 96,000 pages were estimated for Bills, Resolutions, and Amendments, but 136,000 pages were printed. Committee Report pages were estimated at 39,000, but 130,000 pages were actually printed, primarily due to the Iran-Contra report. Whereas $70.4 million was appropriated in fiscal year 1988, outlays that year totaled $80.6 million.

For fiscal year 1990, GPO submitted a conservative estimate for the amount of funding required to meet these obligations which has since been exceeded. Approximately $3 million is required to meet all outstanding prior year obligations in fiscal year 1991 due to the depletion of fiscal year 1989 appropriations.

The following summary of billings plus obligations by category of work for FY 1988 shows the items included in our FY 1990 request and our FY 1991 request.

CONGRESSIONAL PRINTING AND BINDING COMPARISON OF ESTIMATED ORIGINAL REQUIREMENTS AND OBLIGATIONS, FISCAL YEAR 1988

[In thousands of dollars]

Category	Original requirement	Estimated obligation	Difference funded— in 1990	Difference funded— in 1991
Congressional Record Program	17,908	19,584	1,594	82
Bound Record	4,070	4,070		
Daily	11,988	13,200	1,212	
Index	950	1,272	322	
Record Indexers	900	1,140	60	82
Miscellaneous publications	3,834	4,477	(497)	1,140
Miscellaneous printing & binding	9,420	12,207	2,160	627
Details to Congress	4,239	4,536	297	
Doc. envs. and doc. franks	945	1,560	615	
Business and comm. calendars	1,815	1,800	(15)	
Bills, resolutions, and amend	7,680	11,438	3,200	558
Committee reports	3,120	5,519	2,600	(201)
Documents	1,740	1,637	(570)	467
Hearings	20,758	17,116	(4,166)	524
Committee prints	2,970	2,555	(218)	(197)
Subtotal	74,429	82,429	5,000	3,000
Deferred Bound Record	4,070	4,070		
Total	70,359	78,359	5,000	3,000

In order to assure that GPO can respond to the unanticipated workload demands of the Congress, GPO's annual appropriations language for the Congressional Printing and Binding Appropriation includes the authorization that current-year funds shall be available for the payment of obligations incurred under appropriations for similar purposes for preceding fiscal years. It was necessary for GPO to exercise this authority in fiscal year 1989 in order to complete fiscal year 1988 jobs.

Question. In your request, you cite about $7.8 million of price level increases for Congressional work. Why is this major increase necessary?

Response. To achieve the necessary budget reductions in fiscal year 1990, reductions have been made in unit rates charged for Congressional work, many below levels charged for the same work performed in fiscal year 1989. These are expected to under-recover the cost of Congressional work performed.

It is necessary to restore unit rates to levels that will fully recover the costs of Congressional Printing and Binding in fiscal year 1991.

SUPERINTENDENT OF DOCUMENTS

Mrs. BOGGS. We go to the Office of Superintendent of Documents. You are requesting $27.9 million for the Superintendent of Documents for an increase of $3,686,000 in total resources. That is a 15.2 percent increase.

We have Don Fossedal, the Superintendent of Documents here. Do you have a statement?

Mr. FOSSEDAL. Yes, but not a written one. Part of the need for this increase will be to fund the influx of Census materials that will occur in 1991. That will be the major source of the increase. I think there are other items that are significant.

Mrs. BOGGS. Would you like to add to that?

Mr. MULDOON. We have over $2 million at the present time being budgeted for the microfiche distribution of Census material, including over $100,000 in postage costs.

Mrs. BOGGS. We have some other questions to submit for the record.

[The questions and responses follow:]

BY-LAW DISTRIBUTION

Question. The By-Law Program maintains mailing lists and pays for the mailing of publications. This is a $881 thousand program at current rates. You are asking for $949 thousand, of which $536 thousand is for mailing costs. How much of these costs are for mail on behalf of other agencies as opposed to for the Congress itself?

Response. Of the $536,000, $486,000 is estimated for By-Law postage in FY 1991, of which $34,000 is estimated for the costs associated with agency mailings. About 89% of the By-Law postage estimate is for the By-Law copies of the Congressional Record.

Question. If you were to charge each agency their fair share of the By-Law Program costs, how much would be chargeable against non-Congressional Agencies?

Response. Our estimate of By-Law Program costs within the Salaries and Expenses Appropriation for the distribution of By-Law publications that could be charged to Federal Executive and Judicial Branch agencies is about $66,000 for FY 1991. It should be noted, however, that there will be an offset to this potential reduction in this appropriation resulting from the need to maintain additional records on the production and distribution of these materials and bill the agencies accordingly.

DEPOSITORY LIBRARY PROGRAM

Mrs. BOGGS. We will go to depositories. The Depository Library program is the largest component of the Superintendent of Documents Salaries and Expenses program. The FY 1991 request is $23.2 million and is over 1990 by 16 percent. What is the reason for this major increase?

Mr. MULDOON. That increase is again based primarily on the microfiche distribution of Census publications. It is budgeted under the printing and reproduction object class.

There is also some money in the International Exchange Program for the same purpose. It is all part of the total increase in the overall appropriation.

Mrs. BOGGS. Is it likely these publications will be ready to go during fiscal year 1991?

Mr. MULDOON. I would hope so.

Mr. FOSSEDAL. Madam Chairwoman, many of them will be, but they come in over a period of years. One of the pilot projects we are currently engaged in is with Census on CD-ROM. Hopefully, after we have had an opportunity to get information and feedback from the pilot projects, we may be able to come back later this year or next year and say some of this can be done less expensively. That is one of the reasons we are running these pilot projects. There is a possibility that maybe we won't have to spend all of the requested funds.

Mrs. BOGGS. Mr. Lombard and I were discussing this. Because the Census publications won't really be ready, they won't come on line in sufficient time, do you really think you need this much increase this year?

Mr. FOSSEDAL. We have to be prepared if they do come in in 1991, but I have been assured that it traditionally comes in over several years. We can look at it again in context of the data we receive from the pilot projects.

Mrs. BOGGS. And in consultation with the Census Bureau. Of course, they have a timetable. It would be very advantageous. I am sure you must do that.

Mr. JENIFER. In mid-91 we should be getting a lot of that particular material completely through the program. We did budget in the past for it. We think that our biggest increase due to the Census will be during fiscal year 1991. We will be receiving materials that will be printed as a result of the 1990 Census. We should be disseminating by midyear of 1991.

Mrs. BOGGS. You are in consultation with the Census Bureau?

Mr. JENIFER. Yes. If there is any way we have funds that will not be needed in that period of time, of course, we will notify this Committee.

Mrs. BOGGS. Thank you.

We have authorized pilot testing in CD-ROMs for Census publications. Wouldn't it be possible to achieve heavy significant savings by using CD-ROMs instead of absorbing heavy printing, binding, and mailing expenses for printed publications?

Mr. FOSSEDAL. Again, that is why we are running tests. We did distribute already what is called Census Test Disc number 2. We also have two other CD-ROM tests pending, one being the Toxic Release Inventory from EPA. We are waiting for EPA's final release, which we expect in three or four weeks. Also, there is the CD-ROM procurement for the 1985 bound Congressional Record.

In addition, we have two on-line pilot projects that we are working on in conjunction with the General Accounting Office.

Mrs. BOGGS. How much do you estimate can be saved?

Mr. FOSSEDAL. Well, that is going to be difficult to estimate, until we get the information back on the test. I think in light of what we might have to spend on the Census—it is a very complicated calculus, because you are going to have many new Census products becoming available that weren't even available before. They are going to have a much greater deal of specificity than Census has had before.

At the same time, you have new technologies coming in which could substantially save money. You might not save as much in an absolute sense but potentially Census data could cost even more if we didn't have these new formats.

Mr. **Jenifer**. We can save approximately 50 percent of that $2.2 million, I believe, if we can distribute in CD-ROM versus microfiche. I think we would be able to do that comfortably.

Mr. **Fossedal**. I believe that depends on the test.

Mrs. **Boggs**. Could you supply for the record a good estimate of what the savings will be?

Mr. **Fossedal**. Yes.

[The information follows:]

We believe that significant savings are possible with the use of CD-ROM in lieu of more traditional formats in the production of the estimated 100,000 Census Block Statistics maps expected to result from the 1990 Decennial Census. The pilot projects will provide a better indication of how much might be saved, but the 1990 Census Block Statistics maps are a prime candidate for these savings if they are published in CD-ROM due to the large volume expected for distribution. However, our request for FY 1991 does not reflect the potential savings of procuring Census Block Statistics maps for distribution in CD-ROM format as opposed to microfiche. This was done because the Census Bureau had not yet reached a final decision regarding the format they would publish the 1990 Census Block Statistics maps in at the time of our FY 1991 budget preparation process. In order to assure adequate funding we chose to request an amount necessary to produce the Census Block Statistics maps in the more expensive microfiche format. If the Census Bureau decides, as is expected, to go with CD-ROM, we estimate that our request can be reduced by approximately $1.2 million without diminishing our level of service to the depository libraries for materials resulting from the 1990 Decennial Census.

PENDING LEGISLATION

Mrs. **Boggs**. Have you looked at the legislation that has been proposed by the Government Operations Committee and House Administration? Would these affect GPO and the Depository program?

Mr. **Jenifer**. The reauthorization of the Paperwork Reduction Act and the revision to Title 44?

Mrs. **Boggs**. Yes, the revisions.

Mr. **Jenifer**. I believe both of these bills would enhance the GPO to a great degree. We believe that there is a definite need for GPO's position to be established. The Title 44 changes, which were recently introduced, will definitely modernize the public printing and documents statutes.

The position that we take—and that is being supported in the title 44 legislation that you refer to—is that GPO can be the most cost-effective provider of the Government's information reproduction and dissemination needs. I think H.R. 3849 gives us the flexibility to become that. It allows us to utilize in-house capabilities in conjunction with those available in the private sector.

This legislation is something that we support wholeheartedly. We also agree with H.R. 3695, the bill to reauthorize the Paperwork Reduction Act.

We are opposed to another bill, H.R. 2381. I believe I did address this in some detail in my statement. There are some things we question, particularly the cost-effectiveness of the dissemination system proposed by the bill. It would also permit fee waivers or reductions for generally defined groups, unlike the present system we have going right now. We believe GPO as an agency would suffer as a result of H.R. 2381 and the taxpayer would suffer also.

Again, we believe that current Federal information policy needs to be improved. I believe that the title 44 revision and reauthorization bills that have been proposed will do a lot toward improving Federal information policy.

Mrs. BOGGS. Thank you.

The Subcommittee is looking for savings in this appropriation from electronic printing. We urge you to find ways to deliver information to the public in more cost-effective ways.

Mr. JENIFER. We will gladly do that, Madam Chairwoman.

Mrs. BOGGS. Thank you.

I will insert some questions in the record at this point.

[The questions and responses follow:]

Question. Have you looked at the legislation that has been proposed by both the Government Operations Committee and House Administration? These would affect GPO and the depository program. Any observations?

Response. GPO takes a favorable view of H.R. 3695, the Paperwork Reduction and Federal Information Resources Management Act of 1989, which has been referred to the Committee on Government Operations. Of particular interest to us are the provisions of section 103, which would require any information dissemination guidelines issued by OMB to "supplement and not replace the provisions of chapters 1, 5, 11, 13, 15, 17, and 19 of Title 44." Further, any such guidelines would require agencies to:

Provide to the Superintendent of Documents, for distribution to the Federal Depository Library Program, all Government publications required by chapter 19 to be made available, including Government publications in electronic formats;

Utilize GPO for the production and dissemination of information products and services, to the extent provided by chapters 5, 17, and 19 of Title 44; and

Provide advance notice to the Superintendent of Documents before taking any action to initiate, terminate, or significantly modify a public information product or service, and to the Public Printer before establishing a new information sales or dissemination program.

We also take a generally favorable view of H.R. 3849, the Government Printing Office Improvement Act of 1990, which has been referred to the Committee on House Administration. This bill includes a number of modernizing changes to Title 44 that we have been seeking for many years, including a permanent prohibition on implementation of the FAR revision, explicit authorization to procure information products and services for Federal agencies, and necessary provisions for cost-sharing in the dissemination of on-line database information services to depository libraries. However, H.R. 3849 contains a number of shortcomings:

H.R. 3849 does not impose a cap on small printing purchases that agencies can make under section 504 of current law. A cap of $1,000 is included in the statutory prohibition on the implementation of the FAR revision for fiscal year 1990, and will expire if not renewed for fiscal year 1991. A cap is also included in the *Government Printing and Binding Regulations* issued by the JCP, but compliance with the regulations by Executive branch agencies may be subject to challenge under the Supreme Court's decision in *INS* v. *Chadha,* invalidating the legislative veto. As GPO pointed out in testimony before the Subcommittee on Procurement and Printing, we procure a significant amount of printing in the $500–$2,000 range on behalf of Federal agencies. If there is no effective cap on small printing purchases, agencies will be less inclined to use GPO's Printing Procurement Program, which has been demonstrated to be the most cost-effective means for the Government to obtain its printing needs.

H.R. 3849 does not define "publication," as used throughout chapter 17, to include "information services." Without the specific inclusion of "information services" in the definition, the authority of the Superintendent of Documents to sell and otherwise distribute online database services and related technologies through programs authorized by chapter 17 will be open to question.

Regarding proposed changes to section 1710, H.R. 3849 does not include a requirement to make the index available electronically. While it would require the index to include descriptions of "information services," it does not strengthen the reporting requirements for agencies beyond what is required in current law. Thus, the index is likely to continue to face a significant "fugitive" document problem which could affect indexing for all kinds of information products and services.

Most important, H.R. 3849 limits the definition of publication, found in section 1901 of Title 44, to "information products" only. In this respect, it falls significantly short of (a) current practice in the Depository Library Program, which is testing the feasibility of online database dissemination to depository libraries; (b) the opinion of GPO's General Counsel concerning the meaning of 44 U.S.C. 1901, dated May 23, 1989, which did not limit the definition of "Government publication" to format; and (c) section 103(c)(2)(B)(ii) of H.R. 3695, which would require agencies to include Government publications *in electronic formats* among the types of information that are eligible for distribution to depository libraries. The language of H.R. 3695 clearly accords with current Depository Library Program practice and the opinion of GPO's General Counsel, neither of which make any distinction based on format as to which Government publications are subject to distribution to depository libraries.

Unfortunately, the language of H.R. 3894 could set a precedent for injecting format-based distinctions into future determinations about which kinds of information qualify for inclusion in the Depository Library Program. If there is concern that the inclusion of "information services" in the chapter 19 definition of "Government publication" would prove to be costly and impracticable, there is already a mechanism for winnowing out the services that would be made available under section 1914 of current law (this was discussed in the General Counsel's opinion). More important, the provision included in H.R. 3849 for cost-sharing would minimize direct costs to GPO and enhance the workability of information service provision to depository libraries.

GPO does not support H.R. 2381, the Information Policy Act of 1989, which has been referred to the Committee on Government Operations. Although we agree with the intent of this bill to provide OMB with specifically defined statutory authority to promulgate guidance for Federal agencies on information dissemination, it would undercut many of the information dissemination responsibilities currently assigned to the Public Printer and the Superintendent of Documents by law. As a result, H.R. 2381 would contravene the legislative intent of Title 44, which establishes a mechanism for the efficient, effective, and economical distribution of Government information to the public.

ELECTRONIC DISSEMINATION PILOT PROJECTS

Question. You are engaged in a number of electronic dissemination pilot projects. Can you give us a status on the on-line projects which involve cost-sharing?

Response. The Government Printing Office, working in close cooperation with the General Accounting Office, is conducting two on-line pilot projects. The first on-line pilot project is the Economic Bulletin Board (EBB), scheduled for implementation this spring. This project, cosponsored by the Department of Commerce, will provide on-line access to current economic and statistical information to 100 libraries for a period of six months. In early January, all depository libraries were invited to apply for designation as test sites and were provided with detailed information packets about the Economic Bulletin Board. The packet outlined requirements for participating in the EBB pilot project, including arrangements for cost-sharing by depository libraries. Annual subscription fees and hourly charges for accessing the EBB will be waived, however, participating library test sites will be expected to pay their own telecommunications costs. Depository libraries must also furnish their own equipment. In accordance with the terms of an interagency agreement, GPO will reimburse the Department of Commerce $15,000 to help defray administrative and system costs associated with the EBB pilot project.

GPO is working closely with the Department of Energy to develop an implementation plan for providing on-line access to the Integrated Technical Information System (ITIS). The ITIS system contains bibliographic and authority file records used to produce *Energy Research Abstracts*, an important reference tool for identifying scientific and technical information. The joint pilot project will also include development of a "gateway" for accessing similar data files on commercial systems, as well as programs for translating data from the COSATI indexing format used by sci/tech agencies to the MARC format universally accepted by the library community. In addition, the pilot project will include a study to determine the feasibility of distributing the full-text of DOE documents to depository libraries in an optical disk format in lieu of microfiche. Although the issue of cost-sharing has been discussed with DOE representatives, no formula for this particular project has yet been finalized. In the interim, GPO plans to proceed using available funds.

Question. What funds has GPO earmarked for the Depository Library Program's electronic dissemination pilot projects?

Response. Funds are available for this purpose within the Printing & Reproduction object class of the GPO Salaries & Expenses Appropriation. In FY 1991, we estimate a total funding requirement of approximately $80,000.

Question. How many staff are assigned full time to the projects? Is this an adequate level of staffing? Is the staff support appropriate for both implementing and evaluating the projects?

Response. During FY 1991, GPO will devote approximately two FTE's (full-time equivalent staff years) to the pilot projects. This level of effort, augmented by approximately one FTE from GAO, should adequately support pilot project activities in FY 1991. It should also be noted, however, that our agency partners (i.e. Census, Energy, Commerce, and EPA) are making substantial contributions of their own time and effort to the pilot projects.

Question. Are there other kinds of pilot projects that should be considered?

Response. GPO is committed to evaluating the broadest range of opportunities for disseminating electronic information to depository libraries. While the five pilot projects currently being implemented will yield useful evaluative data, they by no means represent the entire range of possibilities. Therefore, as additional candidate data bases are identified, they will be evaluated for their potential value as pilot projects in exploring varieties of media, data formats, information content, and other variables that need to be assessed.

Question. Relative to GPO's traditional role in disseminating Government information on paper or microfiche, what problems does the dissemination of information in electronic format pose for GPO or the depository libraries? What advantages or benefits does it provide?

Response. GPO's traditional role in disseminating paper and microfiche publications to depository libraries is clearly established in the law. Until a similar degree of clarity exists with respect to electronic formats, GPO will continue to provide electronic information products and services that meet one of two criteria: first, electronic information products and services produced by or through GPO; and second, electronic information products and services that are voluntarily submitted to GPO by Federal agencies for depository dissemination. As these two criteria apply to only a small fraction of Federal electronic data bases, electronic information dissemination to depositories is quite limited.

The inclusion of electronic dissemination in the Depository Library Program does complicate GPO's internal operations. CD-ROM products, for example, are actually multi-media packages consisting of printed documentation, floppy-disc access software, and the CD-ROM itself. Each of these components is separately produced, delivered to GPO at different times, and stored until all components are ready to be assembled for shipment. Cataloging procedures for electronic products are more involved and distribution requires special handling and mailing containers. However, the elaborate processing and distribution procedures that accompanied the initial depository CD-ROM product, Census Test Disc #2, are certain to become simpler with practice. Another factor bearing on complexity is whether a given CD-ROM product replaces existing paper/microfiche publications or is issued in addition to those publications. Multiple-format publications will tend to proliferate the quantity of depository items categories, thereby complicating both computer and manual processing operations both in GPO and in libraries.

It is too early to say what problems GPO might encounter with online information dissemination to libraries. As neither of the online pilot projects has been fully implemented at this point, we can only say that a great deal of planning and preparation are necessary—considerably more than are required for "deliverables" such as paper, microfiche, or CD-ROM.

Problems that depository libraries encounter with electronic media will generally relate to resource constraints, such as equipment, personnel, and staff training. Such problems will vary in degree from library to library as a function of local circumstances. Also, the inherent user-friendliness of a given electronic product or service will determine whether an end-user can have direct access without the need for a librarian-intermediary; few libraries are staffed adequately to devote a great deal of time to every user.

Advantages/benefits in electronic dissemination by GPO have to do with maintaining the relevance and integrity of the Depository Library Program as a key channel for delivery of Government information to the public. As more of this information migrates to electronic formats, GPO must continue to adapt.

Advantages/benefits to depository libraries consist of improved access to Government information for their users. Electronic media tend to offer more timely and effective access to the information.

Question. What new or additional costs is GPO likely to incur in disseminating Government information in electronic format? What existing costs will GPO no longer incur or reduce if information in electronic format replaces paper or microfiche? fiche.

Response. Overall cost implications for GPO are difficult to project in light of the many variables. For example, if a CD-ROM replaces a paper publication and if that CD-ROM is produced through GPO, there would likely be savings in terms of printing, binding, and postage costs. However, if the paper publication continues to be published along with the CD-ROM, costs would increase and GPO's distribution would become more complicated. If, on the other hand, a new electronic product or service is initiated for which there is no paper counterpart, there would be no existing expenses that would be offset.

Online dissemination presents an even more complex picture. Because of the pay-as-you-go nature of online access in many cases, it is difficult to estimate costs in advance of use. However, the cost-sharing feature proposed recently in H.R. 3849 would tend to impose some control over the costs of depository online access.

Question. What new or additional costs are depository libraries likely to incur in obtaining or using Government information in electronic format? What existing costs will they no longer incur or reduce if information in electronic format replaces paper or microfiche?

Response. As stated in the previous response, any new or additional costs to depository libraries will vary widely, depending upon the nature of the electronic products or services involved. The degree of user-friendliness of the product or service as it affects the library user's need for a librarian-intermediary will have impact upon library staffing costs. The relative compatibility of the products and services is important for purposes of using common equipment and software, as well as training staff in their use. Certainly, the costs to libraries can be minimized to the extent that the GPO-provided electronic products and services are user-friendly and compatible. In any case, however, libraries are likely to face additional expenses for equipment purchases, staff training, and cost-sharing fees.

On the other hand, libraries could expect to free-up space as electronic products and services supplant paper and microfiche publications. In the same way, libraries might realize savings from having to process, bind, maintain, reshelve, and preserve fewer books and microfiche.

CATALOGING AND INDEXING

We have several questions that we are going to submit to the record. How are you coping with your cataloging and indexing problems that we discussed last year? Is the situation any better?

Mr. JENIFER. It is better. I believe the Superintendent of Documents would like to respond to that question.

Mr. FOSSEDAL. For several years we have had a fundamental problem. We had 22 cataloging positions. Because of our inability to directly hire catalogers, we were never able to catch up on our backlog. I am happy to say, our personnel people, working with OPM, have received direct hiring authority. Since October 1, we have added five catalogers, leaving two vacancies. I think we are going to be able to start making a significant impact on our cataloging backlog.

There is also another opportunity we are pursuing. It is called abridged cataloging to be used on lower-priority cataloging items. We have discovered that many organizations around the country perform less than full cataloging.

In combination with the ability to hire people and keep them, and abridging some of our cataloging on the lower-priority items, we will be able to do a better job. I think next year our cataloging backlog should be down appreciably.

GAO AUDITS

Mrs. BOGGS. Thank you very much.

I understand that during the past year GAO has been conducting numerous reviews within the GPO. Can you discuss the nature of those reviews and what benefits you feel will result from them?

Mr. JENIFER. GAO has been conducting a series of reviews. Primarily, they were requested by the Joint Committee on Printing. We have had a managerial review, which we welcome. As a matter of fact, we had previously agreed with the Private Sector Council, which was going to conduct a similar review of our organization at no cost to the Government. With the GAO coming on board, rather than have a redundant function, we canceled the agreement we had with the private sector group.

We are waiting for the results of the management review from GAO. There have been several questions raised about some of the accounting practices we have in GPO. There have also been some questions raised in reference to waste, fraud and abuse. Fortunately, nothing serious has come to my attention from these investigations.

I am proud to say that we are a well-managed organization and no one, including GAO, has yet to convince me otherwise.

Mrs. BOGGS. Thank you.

Mr. Porter, do you have some questions?

Mr. PORTER. I do. Is this the proper time, Madam Chairman?

Mrs. BOGGS. Yes, it is.

RECYCLED PAPER

Mr. PORTER. I wonder if I could ask you about the use of recycled paper. What is being done to encourage that through the Government Printing Office?

Mr. JENIFER. We were just recently addressing that and talking about it.

Mr. SCAGGS. We talked prior to this meeting about it, and I would be happy to explain where we are at GPO at this time. In conjunction with the Joint Committee on Printing, who has responsibility for development of the policies and stanards for Federal paper procurement, we have incorporated in all of our paper contracts a requirement for at least 50 percent recycled fiber content. This has been in effect for about eight months now, and we have been very successful. I think we are about 88 percent successful in all of the requirements for that level of recycled content.

More recently, we incorporated that kind of requirement in all of our commercial printing contracts. We have been quite successful with that program too, although a number of the printing contractors are having a hard time finding paper, especially in a timely sense, so that they can respond quickly to our invitations and to produce the items on schedule.

We do believe that the information is getting around to the paper industry and more and more manufacturers seem to be willing to include that recycled content in their paper.

Mr. **Porter**. Why don't we say so? Why don't we say "printed on recycled paper" on all of our Government documents? I think that would send a very good message to people across the country. So many government documents are printed. People at home should know that the paper that they are asked to recycle in many of their communities ultimately will be re-used. There is nothing gained in this process until you actually re-use it.

You can send it in, but if it stacks up somewhere, it is simply more waste and nothing is accomplished. But if it is actually re-used and the U.S. Government is showing the leadership on this, then it seems to me people at home ought to know it is being re-used and know that their efforts are being encouraged and rewarded.

I think you ought to put something on every Government document saying that this paper has substantial, or 50 percent recycled paper—something that encourages them.

Mr. **Scaggs**. As you are probably aware, we are not allowed to take any editorial measures on agency requisitions at GPO. We are printers. We follow the copy that is provided by all of our customer agencies—about 130 of them. However, the Joint Committee on Printing, through its issuance of the printing and binding regulations, does control what agencies can and cannot include, or should not include in their publications and documentation. So I would think that if the Joint Committee would require that as a part of the regulations——

Mr. **Porter**. They don't need any additional legislative authority? They can simply say this is something we ought to do, and then everybody would do it?

Mr. **Scaggs**. I can't speak with finality for them, but I believe they can.

Mr. **Jenifer**. I think it is a good idea.

Mr. **Porter**. Since you are doing it, you might as well let people know you are doing it.

Mr. **Jenifer**. We will take it under advisement and explore the opportunities to do that.

Mr. **Porter**. Fine. Thank you very much.

Thank you, Madam Chairman.

WOMEN AND MINORITIES

Mrs. **Boggs**. I am putting on my own hat now.

Would you bring us up to date on GPO's efforts to hire qualified women and minorities in management positions? What is the level of women and minorities in Senior Executive Service positions?

Mr. **Jenifer**. I will gladly provide those statistics for the record, but I would like to state that the GPO is definitely concerned and aware of deficiencies in the area of hiring minorities and women. We are making every effort possible to ensure that opportunities are made available.

As a prime example of something that recently transpired in our agency, we instituted an apprentice program. I am quite pleased to report that 90 percent of the selectees for this program were women.

I would like further to report that they are doing an outstanding job. The vast majority of them are far exceeding the production standards that are placed on that unit. We are continuing our effort along those lines to ensure there is opportunity and employment for minorities and women.

[The information follows:]

For the purpose of this response, we have defined "management positions" as those in grade levels PG-13 through PG-15. GPO currently has 47 women and 74 minority employees in these grades. In addition, we have four women and six minority employees in Senior Executive Service-equivalent grades (PG-16 through PG-18 plus Executive Level IV).

It has been GPO's policy for a number of years to hire from outside the agency only when there is a lack of qualified candidates in-house. As a result, the number of women and minorities available for consideration at these levels has been somewhat limited. However, we have been very active in developing upward mobility positions and apprenticeship programs that have greatly benefitted our female and minority employees. These programs have the potential of elevating these employees to the "journeyman" level in both white-collar and craft areas, creating an in-house pool of qualified candidates for management positions in the future.

In addition, our Office of Equal Employment Opportunity (EEO) has specific responsibilities concerning the recruitment of minorities and women in connection with affirmative action monitoring assignments. In this regard, EEO is highly active in disseminating vacancy announcements for PG-13 and above positions to a variety of resources, including organizations with a predominance of women and minorities; e.g., professional organizations, fraternities, sororities, etc.

Mrs. BOGGS. Thank you for that good report.

Now is the time to tell you all assembled that we have a very special visitor with us today, who will be visiting with the staff members tomorrow. She is Ms. Baretta from the University of Milan, Italy.

H.R. 2381

I notice that in your written report that when you were analyzing H.R. 2381 as it does refer to your operations, that you had several difficulties with assigning so much of the responsibility to OMB. Would you clarify that for us?

Mr. JENIFER. I believe that a system that provides that documents are disseminated to depository libraries by the agencies themselves would in all probability hurt the Despository Library Program.

I think that if an agency were required to make 1400 separate disseminations to depository libraries, then, of course, a standard could not be enforced. It is just not practical or feasible right now for each individual agency to disseminate to all depository libraries themselves.

That is one of the big problems I have with H.R. 2381. I believe that we at GPO should be a centralized dissemination point to insure that this material gets in a usable form to depository libraries.

CLOSING REMARKS

Mrs. BOGGS. Thank you. Thank you very much.

The Chairman has now arrived.

Thank all of you very much for your excellent testimony and for your good work.

Mr. **Jenifer**. Thank you.

Mr. **Fazio**. Thank you, Mrs. Boggs.

I am sorry to have been delayed. I want to thank Mrs. Boggs for her diligence and willingness to spend time here doing this. The Ethics Committee was meeting on a number of matters and I had to be there. I hate to miss testimony from GPO or any other agencies.

Mr. Jenifer, I would like to offer you all the best. I understand this may be your last appearance on behalf of the Government Printing Office. You are about to retire, is that right?

Mr. **Jenifer**. Yes, sir.

Mr. **Fazio**. You have served the country and the Federal Government particularly well in your long career. I wish you all the best in whatever occupies you in the future.

Mr. **Jenifer**. Thank you very much, Mr. Chairman.

I stated earlier, it has been a privilege to have had the opportunity to appear before this subcommittee. It has been very enjoyable working with you and your staff over the years.

Mr. **Fazio**. Thank you very much.

I am sure Mrs. Boggs covered all the significant issues. I know there will be a good deal of input from the library community. I am sure we will hear from them when we hold hearings with the outside witnesses next week. I can assure all those who are concerned that we have been sensitive to all the issues that occasionally divide us, and we will make sure we hear from them at that time. Of course that will impact on any decisions we have to make with regard to your budget.

Mr. **Jenifer**. Thank you.

Mr. **Fazio**. Thank you all for being here.

I will insert the remaining questions in the record.

[The questions and responses follow:]

Question. You indicated last year that "you see personnel reductions as a trend" and that "GPO has some excesses." What actions have you accomplished last year to ensure further reductions, particularly in management and supervisory-type positions?

Response. During FY 1989, GPO employment declined by 76 employees. I have eliminated a number of overhead positions, including four senior level positions. In addition, management and supervisory jobs are being screened as they become vacant for possible elimination or consolidation with similar positions. Further increases in labor productivity will be largely dependent on substantial investment in capital equipment and other management actions to consolidate operations. Moreover, GPO employment levels must maintain a certain degree of flexibility consistent with the nature of an intergovernmental revolving fund in order to respond to fluctuating workload demands.

Question. How have you progressed during the past year with your modernization efforts? What major capital expenditures have you made and what areas are most effected by them?

Response. Increased investment in capital equipment is an important requirement for GPO to continue to improve productivity and services. Capital expenditures during 1989 amounted to $5.8 million, a level which will need to be substantially increased in future years. This level of capital expenditures was less than depreciation expenses for the same period, which totaled $6.5 million. This indicates that our usage of capital assets exceeded our investment in them. Acquisitions during FY 1989 included a book flow bindery system for the Bindery Division, a mainframe computer and other equipment for the Office of Information Resources Management, two new presses for the Press Division and various building repairs and improvements. At present, modernization of press operations is a priority need, particulary the replacement of 15 obsolete offset sheetfed presses and the four aging web letterpresses used to print the *Congressional Record* and *Federal Register*.

Question. I understand that the JCP has approved a major automation project in the Record Index operations which will eliminate many of GPO's pre-press operations. What is involved in this effort and how much will it save the overall Record and other programs? Is this procurement action complying with the Brooks Act?

Response. In January 1989, GPO was directed by the JCP to update the computer hardware and software used to produce the Congressional Record Index and to undertake major changes in the production of the *Congressional Directory*. This system will stand independent of GPO's typesetting computers links. The estimated cost of these upgrades exceeds one million dollars and is expected to result in substantial annual savings. This procurement action will comply with the Brooks Act.

WEDNESDAY, JANUARY 31, 1990.

COPYRIGHT ROYALTY TRIBUNAL

WITNESSES

J.C. ARGETSINGER, CHAIRMAN
MARIO F. AGUERO, COMMISSIONER
CINDY S. DAUB, COMMISSIONER
ROBERT CASSLER, GENERAL COUNSEL
BARBARA N. GRAY, STAFF ADMINISTRATOR

Mr. FAZIO. We will now take up the Copyright Royalty Tribunal which has a budget request of $845,000 of which only $127,000 would come from appropriated funds and the balance, $718,000, would be from receipts collected by the Copyright Owners funds.

INTRODUCTION OF WITNESSES

We have Mr. J.C. Argetsinger, who is the new Chairman of the Tribunal. This is a rotating assignment. We welcome you, Mr. Argetsinger.

Mr. Aguero is another Commissioner, and Ms. Cindy S. Daub, of Nebraska, is a new appointment.

Mr. Argetsinger, you have appeared before the subcommittee, previously?

Mr. ARGETSINGER. This is the second time.

Mr. FAZIO. Mr. Chairman, have you brought anybody else from the staff?

Mr. ARGETSINGER. We have Robert Cassler, who is our General Counsel; and we have Barbara Gray, who is our office manager.

Mr. FAZIO. It is good to meet you both.

Mr. ARGETSINGER. As you know, for years, Christy Rodriguez was our budget and appropriations person. Sadly, she decided to leave the Washington area this past summer. Barbara has been with the Tribunal since 1978, and agreed to take over the budgetary matters.

I hope she will be able to continue the good relations that Christy had with you and the staff. We are very lucky to have Barbara. We converted her position this year into the office manager job because we are term-appointed commissioners and have always had temporary staff. Not until we hired a general counsel in 1985 did we have any permanent staff.

With Christy leaving last summer as well as Chairman Ray, who had been with the Tribunal about eight years, we felt a great loss of institutional memory. We thought we better make Barbara permanent staff.

Therefore, when you look at our budget, we are requesting funding for two positions. One is the position that Ms. Gray presently holds.

Mr. **Fazio**. We will miss Christy, but I am sure she is going on to bigger and better things.

Mr. **Argetsinger**. Yes, sir.

Mr. **Fazio**. Do you have a statement? You may place it in the record and summarize it, if you wish.

Mr. **Argetsinger**. I would like to have my statement placed in the record. I can highlight certain matters or if you wish, to speed things along, I can answer questions.

[The statement of Mr. Argetsinger follows:]

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Statement of
J.C. Argetsinger
Chairman
Copyright Royalty Tribunal

before the
Subcommittee on Legislative Branch Appropriations
Committee on Appropriations
U.S. House of Representatives
January 31, 1990

Mr. Chairman, appearing with me today are my colleagues, Commissioners Mario F. Aguero and Cindy S. Daub. Commissioner Daub joined the Tribunal staff this month and is, indeed, a welcomed addition. Two commissioner positions continue to remain vacant.

As you and members of this Subcommittee are aware, the Copyright Royalty Tribunal is an independent agency within the Legislative Branch established by P.L. 94-553 (1976). The Tribunal distributes funds collected under the compulsory license procedures enacted by Congress in regard to cable television retransmissions, jukebox performances, and more recently the retransmission of broadcast signals to the private homes of satellite dish owners (Satellite Home Viewer Act of 1988, Public Law 100-667) which became effective January 1, 1989. The Tribunal also sets the compulsory license rates in the areas of cable, jukebox, phonorecord royalties and for noncommercial educational broadcasting use of copyrighted materials. However, the rate for home viewer satellite was fixed by Congress for a period of three years, after which the rate is to be adjusted by means of negotiations, or by arbitration subject to the review of the Tribunal. The new rate will be effective until December 31, 1994. The satellite dish compulsory license will expire on that date unless renewed by Congress.

The Tribunal's FY 1991 funding request is for a total of $845,000, of which $718,000 would be derived from the copyright royalty fund. In the 1990 fiscal year appropriation, 85%, instead of 80% as in prior years, of the Tribunal's funding came from the royalty funds and 15% from regular Treasury funds.

The current FY 1990 appropriation provides salaries and benefits for eight (8) staff positions. The FY 1991 budget requests reflects an increase in salaries and benefits as well as funding for ten (10) staff positions. The request for additional positions is due to the increased responsibilities under the Satellite Home Viewer Act. Specifically, the increase of $134,000 is a result of the 1990 3.6% cost of living increase, the 1991 GS-18 pay cap adjustment, a reclassification/reallotment of a staff position, and request for an additional staff position. Following budget requests of recent years, the Tribunal has not included in our FY 1991 request funds which would be required for the two commissioner and staff assistant positions that currently remain vacant. This continues to represent a substantial reduction in salaries and benefits. To our knowledge, there are no nominations pending or anticipated.

There are several other significant increases in the FY 1991 request. The increase of $10,000 for rental of space is due to circumstances beyond the Tribunal's control. The Tribunal was notified by GSA in mid-August that we must relocate our offices because the building is being condemned. Our lease expired on November 1, 1989 but we have remained at our present location on a temporary basis. The Tribunal selected office space at 1825 Connecticut Avenue N.W. and we have received several tentative moving dates. We are now scheduled to move next month. GSA's estimate of the Tribunal rental space for FY 1991 is $104,000. The current budget is approved for $94,000.

The increase of $10,000 for cost of hearings is requested because the agency anticipates conducting proceedings, not only in the areas of cable and jukebox distribution and cable rate adjustment, but, for the first time, home viewer satellite proceedings. The Tribunal was petitioned on January 1, 1990 by the National Cable Television Association (NCTA) and the Cable Antenna Television Association (CATA) to hold proceedings on the FCC reinstituted syndicated program exclusivity protection rules. The Tribunal anticipates extensive hearings on this issue and the other rates which are expected to carry over into FY 1991.

The Tribunal's word processing equipment is outdated, maintenance is costly and the models we use have been phased out. The request for $11,000 for equipment is to upgrade the equipment. Also, as the Library of Congress converts their payroll system to the National Finance Center (NFC) in New Orleans, the Tribunal, in order to save excessive costs of setting up a complete telecommunications system to the NFC, found it most cost-effective to remain a client of the Library. We are in the process of setting up a communication system with the Library. This requires purchasing the necessary on-line word processing equipment for the Tribunal to be operational. This is a one-time expense. Additionally, the increase to the Library of Congress is to offset the cost of processing Tribunal staff's payroll records into the NFC system, as well as continued related personnel matters.

Increases is other line items such as maintenance and repair of equipment, telephone, office supplies and books and library materials are due to inflationary costs.

The workload of the Tribunal will be expanded in FY 1991 because of the rise in the number of cable claimants and also in July of this year, claims will be filed for home viewer satellite royalty fees. We are and will continue to make distributions of royalty fees collected since 1978 in the cable and jukebox royalty funds.

Thank you.

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COMMISSIONER J.C. ARGETSINGER
CHAIRMAN

J.C. ARGETSINGER was appointed to the Copyright Royalty Tribunal by the President on October 17, 1985, following confirmation by the U.S. Senate, for a term ending September 27, 1991. Chairman Argetsinger previously served as chairman from December 1, 1986 to December 1, 1987.

Previously, Mr. Argetsinger was General Counsel to the ACTION agency from 1982 to 1985. From 1973 to 1982, he served in several staff positions in the U.S. Senate, including the Judiciary Committee, of which he was the Chief Minority Counsel. During this period, Mr. Argetsinger was involved with various copyright issues including the 1976 copyright revision legislation which established the Copyright Royalty Tribunal. From 1970 to 1973, he was a trial lawyer with the U.S. Department of Justice and was for a time a Special U.S. Attorney in Washington, D.C.

A 1966 graduate of Western Reserve University School of Law, Mr. Argetsinger subsequently served for nearly three years as an infantry officer in the U.S. Army. As an undergraduate, Mr. Argetsinger attended Cornell University and received a B.A. degree from Youngstown University in 1963. He is a member of the bar of the states of Ohio and New York and the U.S. Supreme Court.

Mr. Argetsinger is a native of Schuyler County, N.Y., and currently resides in Alexandria, Virginia with his wife and three children.

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COMMISSIONER MARIO F. AGUERO

Mario F. Aguero was born in Cuba. He received a bachelor's degree in science and letters from the Camaguey Institute in Cuba, and a degree in business administration from Havana University. He came to the United States in 1960 and is a naturalized citizen.

Mr. Aguero has had a long career in the entertainment industry. From 1950 to 1965 he was President-Owner of Carib Artists Corporation, specializing in stage and television musical productions in Cuba, South America and the U. S.

In 1958/1960, in association with Sol Hurok Attractions, he introduced the Roberto Iglesias Ballet Espanol, with a company of 32, at Carnegie Hall, Broadway, and Winter Garden-Theatre in New York. Mr. Aguero also introduced them in their American television debut on the Ed Sullivan Show and Bell Telephone Hour Television Program.

From 1961 to 1975 he produced a dozen of musical-comedy shows in Carnegie Hall in New York and over 200 in Chicago, Miami, Philadelphia, New Jersey, and many other important states. The "Latin Stars Salute the Hemis Fair", with a cast of 125 artists ranging from singers, dancers and musicians, opened the San Antonio Hemis Fair in 1968, Mr. Aguero produced this magnificent and smash hit. In 1971, Mario Aguero Productions, produced 75 chapters of the first color Spanish soap opera taped in U.S. "Saint Barbara, Virgin and Martyr".

In sports, Commissioner Aguero played basketball for a period of over 18 years. Participating as a regular member of the All Stars Cuban Basketball team in several International Events such as: 100 years of the Dominican Republic Independence, Inauguration of the Sports Palace in Havana, Cuba, Central American Games in Colombia, Special Events vs Long Island University, Chihuahuas and Cachorros of Mexico, Puerto Rico, Venezuela etc., and the World Olympic Games in London, England.

Mario F. Aguero was appointed by President Reagan as a commissioner of the Copyright Royalty Tribunal on September 1984, following confirmation by the Senate, for a term ending September 27, 1991. Commissioner Aguero served as Chairman from December 1, 1987 to December 1, 1988. He is married to Lilia Lazo, an actress and a painter. They have one son, Mario Alejandro.

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COMMISSIONER CINDY S. DAUB

CINDY S. DAUB was nominated by President Bush as a commissioner of the Copyright Royalty Tribunal on September 6, 1989, and, following confirmation by the U.S. Senate, was appointed for a term of seven years from September 27, 1989.

Mrs. Daub served as National Director of the Asian Americans for Bush for President Coalition in 1988. From 1985 to 1987 she held several positions in the Department of Human Services. She served as Director of Private Sector Initiatives (1986-1987); Policy Coordinator in the Office of the Secretary (1986) and Special Assistant to the Secretary (1985-1986).

She has also been a newspaper columnist for the Sun Newspapers in Omaha, Nebraska (1980-1984), an administrative assistant in a private concern (1968-70), and a language instructor for the University of Maryland Overseas Program in Seoul, Korea (1966-67).

Mrs. Daub has been active in philanthropic and charitable activities. She has been a board member for Fairfax County Social Center for Psychiatric Rehabilitation, chairman of the Annual Fundraising Drive for Nebraska Cancer Society, captain of the Henry Doorly Zoo Annual Fund Drive, and a board member for the Children's Museum and the YWCA in Omaha, Nebraska.

She received a B.A. degree in 1965 from Ewha Women's University in Seoul, Korea and did graduate studies in international relations at the same university from 1965-1966.

Mrs. Daub is a naturalized United States citizen. She resides in McLean, Virginia with her husband, former Congressman Hal Daub of Nebraska, and their three children.

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ROBERT CASSLER
GENERAL COUNSEL

ROBERT CASSLER was born in Queens, New York. He was graduated from Brandeis University in 1972 where he majored in history. He received his J.D. degree from Georgetown University Law Center in 1975. He is a member of the Bar of the State of New York and the District of Columbia.

Mr. Cassler studied copyright law at Georgetown University Law Center with Dorothy Schrader, General Counsel of the U. S. Copy-right Office. In 1975, he was awarded First Prize for Georgetown University Law Center in the Nathan Burkan Memorial Copy-right Writing Competition sponsored by ASCAP for a paper he wrote on copyright law.

After a year in private practice in New York, Mr. Cassler joined government service with the Federal Communications Commission. His first assignment at the FCC was conducting rulemaking proceedings in the Private Radio Bureau. In 1979, he transferred to the Mass Media Bureau where he rose to the level of supervisory attorney in the AM Branch. In 1983, he joined the support staff in the Office of the Administrative Law Judges which was created especially to assist the judges in determining which communications companies would receive cellular radio licenses in the top 30 markets of the country.

Mr. Cassler enjoys theater, and has written a full-length historical drama which received a production at the National Archives June 1988. He also contributed original songs and sketches each year to the musical revue produced by the Young Lawyers' Section of the Bar Association of the District of Columbia which later became the basis for a one-act musical performed at the Silver Spring Stage September 1987. Recently, a paper written by Mr. Cassler on copyright compulsory licensing was accepted for publication by the Journal of the Copyright Society of the U.S.A.

Mr. Cassler joined the Copyright Royalty Tribunal as General Counsel March 4, 1985.

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BARBARA N. GRAY
STAFF ADMINISTRATOR

BARBARA N. GRAY has over 20 years administrative/managerial experience in government and private industry. Prior to joining the staff of the Tribunal, she worked for 10 years with the current EPA Administrator William K. Reilly. During her tenure with Mr. Reilly she was his executive secretary at The Conservation Foundation (1973-1978); business manager/executive secretary to the Rockefeller Task Force on Land Use and Urban Growth (1972-1973); and secretary at the Council on Environmental Policy and Urban America (1968-1972). Ms. Gray has also worked at the Peace Corps (Office of Public Affairs), Department of Housing and Urban Development (Office of the Assistant Secretary for Model Cities), and the Office of Education (Division of Vocational Education and Office of Public Information).

Ms. Gray joined the staff of the Tribunal in January 1978 as assistant to Commissioner Coulter (January 1978 - September1984) and as assistant to Commissioner Aguero (May 1984 - July 1989). Currently she serves as staff administrator to the Tribunal.

STATEMENT BY MR. ARGETSINGER

Mr. FAZIO. You might want to highlight some items that you think are significant. I will bet you will resolve a number of questions we might have asked.

Mr. ARGETSINGER. Thank you.

As I stated earlier, we are very concerned about the institutional memory, and to retain some of that memory, the new position of office manager was created. In fiscal year 1990, we requested funding of eight positions. In July of last year, we created a ninth position of office manager.

We were able to create this position because we realized there would be a savings of approximately $20,000 from the expiration of Commissioner Ray's term and that of his assistant to the confirmation/appointment of a new commissioner and her confidential assistant. We had a three-month vacancy lapse period before the new commissioner joined the Tribunal. We were also able to reduce the number of hearings that we projected for fiscal year 1989.

Our 1991 request is for an increase of $171,000 over the fiscal year 1990 budget. The most significant increase of $134,000 is for salaries, benefits, and staff expansion.

Of that $134,000, $63,000 is for the office manager position, and funding of an additional position of paralegal researcher for the general counsel. This would be the tenth position.

The Commissioners are concerned about the permanency of staff at the Tribunal. Because Commissioner Aguero and I have less than two years remaining of our term we wanted to give some stability to the Tribunal before we departed.

The remainder of that $134,000 for personnel is out of our control, i.e., lifting of the GS-18 pay caps in 1991 and to a lesser degree, within-grade increases.

DISCUSSION ON UNCONTROLLABLE COSTS

Mr. FAZIO. I spent some time discussing with CBO how the baselines are calculated. When all of the mandatory requirements are considered, it is difficult to come up with anything except a significant increase for personnel-intensive agencies.

They could not give us an answer as to where to go to make up the differences between the baseline and the mandatory requirements. The CRT is a prime example of a personnel intensive agency with uncontrollable costs.

Mr. ARGETSINGER. The cost of FERS to the agency is so much more than the other retirement system, CSRS, Mr. Chairman.

Mr. FAZIO. Of course the CSRS system was not charged to each agency. The government is actually making out but the agencies are hit hard with the new FERS obligations.

Mr. ARGETSINGER. That is correct.

RELOCATION OF TRIBUNAL

Among other factors out of our control is the $10,000 increase for cost of hearings and $10,000 for rental of space. The new equipment, requested at $11,000 I suppose, is within our control.

GSA informed us last summer that we had to relocate our offices. We are very happy where we are. However, we were told we had to relocate because the owners of the building are renovating it for other purposes.

We are scheduled to move in March to 1825 Connecticut Avenue. The space will cost an additional $10,000 over fiscal year 1990 rental of $94,000.

Mr. **Fazio**. We provided funding for the renovation of the hearing room.

Mr. **Argetsinger**. Yes.

Mr. **Fazio**. Now it is going to be vacated?

We did get the hearing room renovated by applying a little pressure on GSA; but, unfortunately we have to relocate.

The Tribunal's present moving situation reminds me that when I was General Counsel of another agency a few years ago, we were told in 1982 we were going to move immediately. It was not until 1989 that the agency finally moved. As of this moment, we have been told the Tribunal's move will be March.

PROCEEDINGS ON RATES

Mr. **Fazio**. We will be interested to know how closely you keep on schedule.

Mr. **Argetsinger**. Our offices will be located just below the Washington Hilton above DuPont Circle. The attorneys who appear before us feel it causes no additional travel burden. We anticipate extensive hearings next year. We are commencing rate hearings that are scheduled by statute every five years.

Additionally the matter is further complicated by the FCC changing its rules on syndicated exclusivity, we were petitioned the first of this year to hold proceedings.

We are awaiting comments from the parties which are due February 8 on structure of the proceedings. We expect the proceeding to carry over into fiscal year 1991.

The last rate hearing we had, seven or eight years ago, was about 30 days. We have to expect that this may be the case again.

The Tribunal has always encouraged the parties to negotiate in order to reach agreement. This is what we encourage again. We have been successful at times. Hopefully, they will negotiate it away; but I think the sides are lined up and ready for battle.

For several years, I have felt that we are kind of on the San Andreas Fault. We keep waiting for the big one in terms of days of hearings. This coming year, the predicted range of hearings [illegible] 50 to 80 days. While there could be multiple settlements this may be the year that the big crack really happens. We could experience a total of 80 days because of the rate changes and if we have a fully litigated cable distribution.

We try to be precise with the number of days of hearings because hearings do cost $500 a day. I wish I could be precise, but we are officially submitting it at 60 days for 1991 because I hope there will not be a need to request a supplemental.

Mr. **Fazio**. There is a lot of money riding on this one.

Mr. **Argetsinger**. Of course. As always we will gladly turn back the money at the end of the year if we don't use it all.

Mr. **Fazio**. It is ironic when you think about the millions of dollars in royalties, and we are talking about $500 a day to hold the hearings. I am sure they will be happy to pay the rent on the hearing room, too, if that is what it would take to get the adjudication expedited.

Mr. **Argetsinger**. We administer about $225 million in royalties. Our expenses are less than one-half of 1 percent of that. We have never had any complaints from the parties that we are spending too much money.

Fortunately, we have been upheld by the Court of Appeals the last five or six years consistently. The only complaints we have gotten sporadically, and this comes chiefly from congressional sources, is we don't have enough permanent staff.

That is why we are coming in asking for additional staff funding. There is also the one-time expense of $11,000 that we are asking for because we have some very old Compucorp word processors which are not only obsolete but no longer compatible with the Library of Congress's system.

We have therefore requested funding for three new PCs, IBM. They will be compatible with the Library of Congress, and we will purchase them as always, through their purchasing system.

RESPONSIBILITIES OF TRIBUNAL

We do have a number of items on the agenda for next year. We have the 1988 cable, 1989 jukebox, and the satellite dish distributions. The 1989 jukebox will be our last jukebox royalty distribution because the Berne Convention supposedly will go into effect in early March, whenever the parties inform us it is final.

Mr. **Fazio**. So the Satellite Home Viewer Act is the requirement for distribution or what was the term you used earlier?

Mr. **Argetsinger**. The satellite carrier?

Mr. **Fazio**. Yes.

Mr. **Argetsinger**. This was the Act passed by Congress giving us jurisdiction over satellite retransmissions. We will initiate proceedings beginning next August. The hearings will carry over into fiscal year 1991.

Once again, it is a start-up procedure. We might have 5, 10, or 20 days of hearings. I don't think there will be a great deal of them.

It is new territory, and we don't know how many to expect. Perhaps we can convince the parties to settle.

Mr. **Fazio**. How much time do you spend in attempting to adjudicate between the parties prior to a hearing?

Mr. **Argetsinger**. More and more we are employing this practice. There seems to be something of a direct correspondence between the time we spend before hearings and a shortened hearing schedule. I suppose half of our time is taken up answering motions prior to settlement or prior to hearing.

We attempt to write our responses and orders in a certain way to try to get the parties to come to the table. As a matter of fact, we have been very successful with that tactic. We have had some preliminary meetings and when we get the parties in there, we say, look, won't you come together on this? You will all save money.

Sometimes we can accomplish this purpose. I think that is it always worth trying.

The Satellite Dish Act establishes a formal negotiating procedure in regard to rate changes at the end of the fixed rate period of three years. The Judiciary Committee experimented on this, drafting a procedure which requires the Tribunal to direct the parties to try to negotiate. If the parties don't come up with a settlement, then we will have it sent out to arbitration; and if that determination is not reasonable, then the Tribunal will impose a rate.

But in effect we have been encouraging the parties to negotiate the last few years.

Mr. FAZIO. Who pays for the arbitrator?

Mr. ARGETSINGER. The parties will have to do that.

Mr. FAZIO. There is no pass-through?

Mr. ARGETSINGER. No pass-through, Mr. Chairman.

Mr. FAZIO. But it is simply a less expensive way to do it, rather than a full-blown hearing and perhaps litigation.

Mr. ARGETSINGER. That is right, but that provision won't come into effect until the end of 1993. I think it will foster a marketplace situation where the parties will work it out.

I keep expecting the cable people and motion picture association to join hands and sit down together.

Mr. FAZIO. I am ambivalent about it. Sometimes I would like to see it resolved, and sometimes I benefit from them fighting. Coming from California, it is always an interesting dispute.

The industries are becoming so entwined and interrelated, you never know what you are going to hear, given the fact they have a hard time in deciding who is running the various organizations these days.

Many of our questions have been answered in your statement, and others are the type that can be easily answered for the record.

[The questions and responses fellow:]

TRIBUNAL HEARINGS

Question. The Tribunal conducts both rate review and distribution proceedings. What hearings are you holding this fiscal year, and what hearings do you plan for fiscal year 1991? How many days do you expect these hearings to last? Update the hearings data on page 763 of Part 2, FY 1990; indicate actual experience of FY 1989.

Response.

FISCAL YEAR 1989

Proceeding	Actual days	Projected days
1986 cable distribution	8	
1987 jukebox distribution		
1987 cable distribution		
Tribunal rules of procedures		
Actual fiscal year 1989 hearing days	8	

FISCAL YEAR 1990

	To date	Projected days
1987 cable distribution	11	10
1988 cable distribution		15
Cable rate adjustment		10
Jukebox rate adjustment		

FISCAL YEAR 1990—Continued

	To date	Projected days
Home viewer satellite		
FCC change of Syndex rate		5
Total fiscal year 1990 hearing days		30

FISCAL YEAR 1991

	To date	Projected days
Home viewer satellite		10
1989 jukebox distribution		5
1988 cable distribution		15
1989 cable distribution		10
Cable rate adjustment		20
Total fiscal year 1991 hearing days		60

Question. For the record, update the table on the distribution and rate decisions and the status of deposits on pages 761-762 of the 1990 hearings.

Response:

DISTRIBUTION DECISIONS

Distribution proceeding	Determination date	Appealed	Status
1978 cable	Sept. 23, 1980	Yes	Affirmed, except remanded to provide statement for the recision of initial allocation to NPR. Decision upon remand not appealed.
1979 cable	Mar. 8, 1982	Yes	Affirmed, except remanded to consider NAB's claims to sports broadcasters and commercial radio, and nonaward to devotional claimants. Decision upon remand affirmed.
1980 cable	Mar. 7, 1983	Yes	Remanded at request of tribunal in light of Court's decision in the 1979 appeal.
1979 cable (remand)	May 11, 1984	Yes	Affirmed.
1980 cable (remand)	July 10, 1984	Yes	Do.
1981 cable (remand)	Mar. 2, 1984	No	
1882 cable	Sept. 25, 1984	Yes on phase II	Do.
1983 cable	Apr. 15, 1986	Yes	Do.
1984 cable	Mar. 17, 1987	Yes on phase II	Do.
1985 cable	Mar. 4, 1988	Yes	Do.
1986 cable	Apr. 21, 1989	No	
1978-81, 1978	Letter of agreement	No	All jukebox distribution proceedings reached full settlements.
1979	Nov. 30, 1981		Do.
1979-80	Apr. 29, 1982		Do.
1981	Nov. 30, 1982		Do.
1982 jukebox	Aug. 31, 1984	Yes	Remanded for further fact-finding to determine whether Latin American music, Latin American Music Inc & ACEMLA are performing rights societies. Decision upon remand affirmed.
1982 jukebox	Remand/Nov. 20, 1985	Yes	Affirmed (Consolidated 1982 decision).
1983 jukebox	(Consolidated with 1982 jukebox remand.)		
1984 jukebox	Dec. 2, 1986	Yes	Affirmed.
1985 jukebox	Dec. 4, 1987	Yes	Do.
1986 jukebox	Sept. 19, 1988	No	

DISTRIBUTION DECISIONS—Continued

Distribution proceeding	Determination date	Appealed	Status
1987 jukebox	May 8, 1989	No	
1988 jukebox	Nov. 28, 1989	No	

RATE DECISIONS

Subject	Determination date	Appealed	Status
1980 cable adjustment	Jan 5, 1981	Yes	Affirmed, remanded to correct or explain a mathematical error. Decision upon remand not appealed.
1980 cable adjustment remand	Oct. 12, 1982		
1982 post-FCC deregulation and syndicated exclusivity surcharge.	Nov. 19, 1982	Yes	Affirmed.
1980 mechanical adjustment	Jan. 5, 1981	Yes	Affirmed, remanded to adopt an alternative scheme for inflationary adjustments. Decision upon remand not appealed.
1980 mechanical remand	Dec. 23, 1981		
1980 jukebox rate	Jan. 5, 1981	Yes	Affirmed.
1978 noncommercial broadcasting	June 8, 1987	No	
1982 noncommercial broadcasting	Dec. 29, 1982	No	Agreement reached.
1985 cable inflation adjustment	May 1, 1985	No	Do.
1987 mechanical adjustment	June 15, 1987	No	Do.
1987 noncommercial broadcasting	Dec. 29, 1987	No	

CABLE ROYALTY FEE FUND

Year	Current value of fund	Total amount distributed as of Jan. 31, 1990	Percent	Total amount remaining in fund pending resolution of controversy	Percent
1978	$17,747,000	$17,747,000	100		
1979	23,733,000	23,733,000	100		
1980	28,055,000	28,055,000	100		
1981	35,566,000	35,566,000	100		
1982	44,384,000	44,384,000	100		
1983	84,220,000	84,220,000	100		
1984	104,254,000	104,254,000	100		
1985	114,318,000	114,318,000	100		
1986	129,597,000	129,597,000	100		
1987	173,519,000	173,319,000	99.85	$204,661	.15
1988	[1] 204,497,000			204,497,000	100
1989	[2] 107,330,000			107,330,000	100

[1] Notice to determine controversey is pending.

[2] Repesents first half-year payments only. Claims to be filed July 1990.

Note: Increase in value of funds for the years 1978 to 1987 is due to late payments were received and distributed in fiscal year 89 and 90. In the 1987 fund, a controversy exists within the Devotional Claimant category and 204,661 (.15%) is held in reserve.

SATELLITE HOME VIEWER CARRIER

Year	Current value of fund	Total amount distributed as of Jan. 31, 1990	Percent	Total amount remaining in fund pending resolution of controversy	Percent
1989	[1] $1,089,000			$1,089,000	100

[1] Repesents first half-year payments only. Claims to be filed July 1990.

JUKEBOX ROYALTY FEE FUND

Year	Current value of fund	Total amount distributed as of Jan. 31, 1989	Percent	Total amount remaining in fund pending resolution of controversy	Percent
1978	$1,124,000	$1,124,000	100		
1979	1,359,000	1,359,000	100		
1980	1,227,000	1,227,000	100		
1981	1,183,000	1,183,000	100		
1982	3,319,000	3,319,000	100		
1983	3,166,000	3,166,000	100		
1984	5,991,000	5,991,000	100		
1985	5,507,000	5,507,000	100		
1986	5,340,000	5,340,000	100		
1987	6,517,000	6,517,000	100		
1988	6,717,000	6,717,000	100		
1989	6,721,000			$6,721,000	100

DISCUSSION ON BUDGET INCREASES

Mr. FAZIO. You have an $85,000 increase for "current level" compensation. Explain that.

Mr. ARGETSINGER. There are some in-grades increases and also the commissioners' salaries increase because the cap is lifted in 1991.

Mr. FAZIO. What level are you tied to?

Mr. ARGETSINGER. Level 5.

Mr. FAZIO. You will be benefiting as many others will be.

Mr. ARGETSINGER. I am assuming the increase doesn't get reversed. But you would have greater insight on that question.

Mr. FAZIO. So that would be essentially the major component of that increase.

The two positions that you mentioned earlier, one is the office manager position, which is an upgrade of a current position.

Mr. ARGETSINGER. That is correct.

Mr. FAZIO. The other is?

Mr. ARGETSINGER. A paralegal assistant to the General Counsel. We have been fortunate sporadically getting interns or externs, nonpaid, from the various law schools. We have people doing good work.

However, there are times when we are unable to find people to do some legal work for the General Counsel. We would like to have some continuity. We would like to have somebody who could begin to back up the General Counsel.

Mr. FAZIO. This position would not be that of an attorney, but a paralegal who would be there for a longer period of time?

Mr. ARGETSINGER. That is correct.

Mr. FAZIO. Your counsel can obviously make more in the private sector once they learn this part of the law. So continuity won't be as easily preserved in the legal counsel's position. That makes sense.

Thank you very much. We appreciate your testimony.

Mrs. Daub.

Mrs. DAUB. Mr. Chairman, when I arrived in the Office of the Copyright Royalty Tribunal, I was taken aback when I saw rotary dial telephone equipment. I said to the chairman before our departure, you realize that a lot of agencies outside have recorded messages, and we cannot call because we don't have pushbuttons.

Mr. **Argetsinger**. Mr. Chairman, I didn't put Commissioner Daub up to that, but when we move, I suppose we will have touch-tone phones.

Mr. **Fazio**. I hope so.

Mr. **Argetsinger**. We recently got a FAX, only because the Judiciary Committee wanted to FAX something to us. And we said, we don't have a FAX; and they said, well, get one.

Mr. **Fazio**. Very good.

Welcome to the 20th Century.

Thank you for your testimony today.

I will insert the remaining questions in the record.

[The questions and responses follow:]

Budget Increase

Question. Explain the components of the $27 thousand benefits increase.

Response. The requested $27 thousand increase for benefits is broken down as follows:

Within-grade increases	$1,000
1990 cost of living increase pay raise	3,000
1991 GS-18 pay cap adjustment for Commissioners	6,000
Staffing of two unfunded positions	11,000
Additional expenses for positions filled under FERS instead of CSRS	6,000
Total	27,000

EQUIPMENT

Question. How many word processing machines do you now have; how many will your budget request support ($12 thousand).

Response. The Tribunal has three word processors. The budget will support three PC computers with accessories.

Question. What model do you now operate? At what annual cost?

Response. We have Compucorp Word Processors (one 785 model and two 775 models) at an annual cost of $1,500 for maintenance.

Question. What model or features do you plan to acquire? At what annual cost?

Response. The Tribunal's word processors are basically word processing typewriters with limited functions. The basic functions of these machines are text-editing, records, making additions, deletions, corrections and formatting changes prior to automatic playout. The FY 1991 request is to purchase three computers, IBM PC-PS/2 with 640K Ram, 20 mg hard drive. These computers can perform multiple complex calculations and logic operations. One of the most significant features of the PC is the availability of software. For example, the Lotus software will allow the agency to make mathematical calculations of royalty fees as well as prepare spreadsheets for budgetary matters. The request to upgrade the equipment with the IBM PCs is to supply the Tribunal staff with a more efficient and cost-effective office automation capacity. We expect that we will see tremendous increases in the application of these individual work stations. The computers will not be a specialty but a virtual necessity for all office personnel. There will be an annual cost of approximately $2,000 for maintenance.

MONDAY, FEBRUARY 5, 1990.

LIBRARY OF CONGRESS

WITNESSES

JAMES H. BILLINGTON, THE LIBRARIAN OF CONGRESS
WINSTON TABB, ACTING DEPUTY LIBRARIAN OF CONGRESS
DONALD C. CURRAN, ASSOCIATE LIBRARIAN FOR OPERATIONS AND ACTING ASSOCIATE LIBRARIAN FOR CONSTITUENT SERVICES
HENRIETTE D. AVRAM, ASSOCIATE LIBRARIAN FOR COLLECTIONS SERVICES
CHARLES DOYLE, ACTING LAW LIBRARIAN
ALAN JABBOUR, ACTING ASSOCIATE LIBRARIAN FOR CULTURAL AFFAIRS
RHODA W. CANTER, ASSOCIATE LIBRARIAN FOR MANAGEMENT
RALPH OMAN, REGISTER OF COPYRIGHTS
JOSEPH E. ROSS, DIRECTOR, CONGRESSIONAL RESEARCH SERVICE
HERBERT S. BECKER, DIRECTOR, INFORMATION TECHNOLOGY SERVICE
FRANK KURT CYLKE, DIRECTOR, NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED
JAMES R. TREW, DIRECTOR, INTEGRATED SUPPORT SERVICES
ADOREEN McCORMICK, LEGISLATIVE LIAISON OFFICER
MICHAEL H. SHELLEY, SPECIAL PROJECTS ASSISTANT
ERIC SCHWARTZ, POLICY PLANNING ADVISOR, COPYRIGHT OFFICE
MARY BERGHANS LEVERING, ACTING EXECUTIVE DIRECTOR, FEDERAL LIBRARY AND INFORMATION CENTER COMMITTEE
JOHN D. WEBSTER, DIRECTOR, FINANCIAL SERVICES
PETER BRAESTRUP, DIRECTOR OF COMMUNICATIONS
RONALD A. MORSE, DEVELOPMENT OFFICER
JOHN O. HEMPERLEY, BUDGET OFFICER

OPENING REMARKS

Mr. FAZIO. We now will hear testimony on the appropriations requests for the Library Of Congress for fiscal year 1991, which totals $305,390,000 and 5,121 permanent budgeted positions. This is an increase of $52,330,000, or 21 percent over the 1990 appropriations and 280 new jobs.

In addition, another 15 additional indefinite positions are requested. The total staff supported by direct appropriations would be 5,469. These figures don't include $21,109,000 in offsetting collections, $7,667,000 in gift and trust funds, $65,950,000 in reimbursable programs, and $12,608,000 in building maintenance. With these items included, the overall resources available to the Library would be $412,724,000.

DR. BILLINGTON WELCOMED

We want to welcome Dr. James H. Billington, the esteemed Librarian of Congress. He has just completed a major reorganization of the Library, and I am sure he is anxious to explain it to us.

Dr. Billington, particularly for the benefit of the record, and certainly for those that we haven't had a chance to meet, I would appreciate it if you would introduce your staff, some to whom I didn't say hello. Then, proceed with your statement which we have been looking forward to.

INTRODUCTION OF STAFF

Dr. BILLINGTON. Thank you, Mr. Chairman.

On my left is Winston Tabb, Acting Deputy Librarian of Congress; Donald C. Curran, Associate Librarian for Operations and Acting Associate Librarian for Constituent Services; Henriette D. Avram, Associate Librarian for Collections Services—and I might add, Mr. Chairman, recently one of three winners of the Outstanding Senior Executive Award of the Federal Senior Executive Service Association.

Mr. FAZIO. That is something worth commenting on.

We want to add our congratulations. Let's place the citation in the record.

[The citation of Ms. Avram follows:]

Senior Executive Association, Professional Development League, Distinguished Executive Service Award presented to Henriette Avram for sustained outstanding and distinguished performance and dedication to the public service which has significantly improved the efficiency, effectiveness and productivity of the Federal Government, as well as improved the image of the career Senior Executive Service.

Given in Washington, D.C., this 24th day of January in the year 1990.

CAROL A. BONOSARO,
President.
JAMES M. MCCALLAUGH,
Chairman of Board.

CONTINUATION OF INTRODUCTIONS

Mr. FAZIO. I would particularly like to cite that recognition.

Dr. BILLINGTON. Charles Doyle, who has been the Acting Law Librarian; Alan Jabbour, Acting Associate Librarian for Cultural Affairs.

Mr. FAZIO. Alan always rises above the others.

Dr. BILLINGTON. Rhoda W. Canter, Associate Librarian for Management; Ralph Oman, Register of Copyrights; Joseph E. Ross, Director, Congressional Research Service; Herbert S. Becker, Director, Information Technology Service; Frank Kurt Cylke, Director, National Library Service for the Blind and Physically Handicapped; James R. Trew, Director, Integrated Support Services; Adoreen McCormick, Legislative Liaison Officer; Michael H. Shelley, Special Projects Assistant; Eric Schwartz, Policy Planning Advisor, Copyright Office; Mary Berghaus Levering, Acting Director, Federal Library and Information Center Committee; John D. Webster, Director, Financial Services; and John O. Hemperley, Budget Officer.

Mr. FAZIO. It's good to see you.

Dr. BILLINGTON. Peter Braestrup, Director of Communications.

Mr. Fazio. We may meet others as we go along. Please proceed.

Statement of the Librarian

Dr. Billington. Mr. Chairman, and members of the subcommittee, the Library of Congress is the largest, most diverse, most comprehensive and most accessible source of knowledge and information in the history of the world. Above and beyond its services to the Congress and to researchers, this Library delivers other services to the nation that are already worth far more each year than the Library's total annual appropriation. This institution's potential for directly contributing even more to the nation's most pressing educational and productivity and competitiveness needs is immense. All that it lacks is a secure base of support for the infrastructure of the Library that will in turn permit the Library to help build the infrastructure of the nation for the information age.

NEEDS OF LIBRARY REQUESTED

We are asking for this base this year. We are requesting a budget for fiscal year 1991 of—in round numbers—$326 million, an increase of $59 million offset by a $7 million increase in fee services for a net appropriation of $305 million—a net increase of $52 million or 20.5 percent over fiscal year 1990.

This represents the real needs of the Library if it is to continue performing its established mission. It is not a wish list, but the core support needed to sustain the usability of this unmatched collection here on Capitol Hill for the rest of this century—and to begin the exciting process of taking its resources to the rest of the country electronically to met the needs of the next century.

The Library is now at a crossroads that comes in the life of an institution in its long and distinguished history. We have completed a large-scale management review, undertaken a major reorganization, and identified our mission, our problems, and our potential for service. We have developed a practical long-term strategy to provide leadership in supplying the information and knowledge needs of the American people for the 21st Century.

Thanks to advances in technology and in public awareness, the prospects have never been better for using the Library's great assets in new ways for our nation. Our dedicated and talented Library staff, who have been doing their ordinary work at the same time as they have been participating in all of these examination processes in the last couple of years, know what we have to do and are committed to finding better ways to do it.

EROSION OF BASE

However, this Library is increasingly unable to carry out its mission because of inadequate funding. During the past six years, annual appropriations for the Library have increased a little less than 14 percent while comparable national cultural institutions in Washington have received increases in Federal appropriations ranging from 36 to 65 percent—often supplemented by private funds, of which the Library has had almost none.

This essentially declining annual appropriation has begun seriously to erode the Library's ability to serve the nation. The Library has not been able to keep up with inflation and now has 475 fewer employees on Federal appropriations than in 1984. This alarming erosion should not be allowed to continue.

We are making strenuous efforts to obtain private support, and we will soon be asking for statutory authority to charge fees for specialized and tailored services. But even the greatest foreseeable success in these efforts would not diminish our need for the appropriated funds to sustain the basic programs of the Library of Congress. Private funds and fee for service will allow us only to support presently unfunded outreach programs, to broaden public programs and to offer new specialized services to exploit the Library's collections for the good of the nation.

SAVINGS TO NATION'S LIBRARIES

The Library of Congress makes a profound difference in bringing information to the Congress and to the American people. We conservatively estimate—this is a very conservative estimate—that our cataloging services alone save the nation's libraries $352 million annually, illustrated in Chart 2 of my prepared statement.

AMERICAN MEMORY

We demonstrated last year how we can bring the Library's resources as well as the bibliographical record to schools and libraries through our multi-medial American Memory project. This project is on schedule; it is attracting substantial private support thanks directly to the support and vote of confidence provided last year by the Congress.

Mr. FAZIO. It seems that you had quite an event the other night exhibiting new and more intense interest in the Library's future from the private sector. We were pleased to see it so well chronicled in the local newspapers.

Dr. BILLINGTON. We were happy to bring this together as the Library's first national advisory body and support body in the private sector in its history and it was thanks to your support. Ms. Boggs was with us with the kick-off lecture for the Madison Council. I think the Council got off to a good start.

Mr. FAZIO. We are very pleased. It is in keeping with our interest and we appreciate the initiative that you have shown.

Dr. BILLINGTON. The Library truly is the American memory. The Library of Congress alone has done half of all the film preservation ever done in America—and nearly half of all preservation microfilming. The Library of Congress annually answers some two million reference inquiries from around the country as well as a half million copyright inquiries.

Other current programs of the Library show what can be done for the nation, at very little cost, to share our incomparable resources.

BICENTENNIAL OF THE U.S. CONGRESS

The Library's contribution to the Bicentennial of the U.S. Congress was an outstanding exhibition, "To Make All Laws—The Congress of the United States 1789-1989" in the Madison Gallery. We also organized a traveling exhibition which is now crossing the

United States to 31 sites. Our Educator's Institute brought school teachers and librarians from some 21 States, where the exhibit will be shown, here to Washington last summer to study the Congress, and then to share their experience and enthusiasm with teaching groups in the communities where the exhibit is being shown.

The exhibition catalog, written by the chief of the Library's Manuscript Division, James Hutson, is a popular and well-reviewed illustrated history of the Congress which will soon appear in a hardback edition for secondary schools with an introduction by former Speaker O'Neill.

Another new initiative this year with exciting results is the Library's pilot program that has put 14 libraries of all types from all over American on line to our machine-readable bibliographic and other files. Even in the early phase, we are finding active use of the files and an enthusiastic response from the participants. This effort has cost the Library of Congress very little, but is proving highly beneficial to librarians and researchers across the country who pay the telecommunications costs.

SERVICES TO THE NATION

Here is a map of the United States which illustrates some of our current services to the nation. By no means all, but just a few. The first map represents a few of the 14,000 or so principal libraries which benefit directly from our cataloges services. It is based on that, that this large figure of about a third-of-a-billion dollars annual subsidy is based, although their are more libraries than the 14-or-so thousand on which this is based that use our cataloging.

Mr. FAZIO. Mr. Yates' district seems to appear purple with the high density of symbols on the map.

Dr. BILLINGTON. Add to that the dots represent 54 regional and 93 subregional State centers for the distribution of books for the blind and physically handicapped. We distribute over 20 million items a year to the blind and physically handicapped. That illustrates the nationwide coverage on that front.

The book symbols are for the 19 State Centers for the Book and the stars are for current traveling exhibits of the Library.

Mr. YATES. What do you mean by a traveling exhibit? Give us an example.

Dr. BILLINGTON. "To Make All Laws, the Congress of the United States 1789–1989" is visiting very widely throughout the country. We have other exhibits which are loaned to libraries.

Mrs. BOGGS. The Soviets want it, too.

Dr. BILLINGTON. When I was in Moscow opening up a small Moscow contract office to get for the library the rich informal things being published, in November, as well as the things coming to us through our exchange, there was a request for this exhibit. We are also playing an active role in helping Russia develop research support for the legislature. One of the most important parts of the democracy-building process in Poland and the Soviet Union is to give them information or the Congress reminding them that the Bill of Rights was the creation of a legislature, not the creation of a small academic committee, however noble such committees may be.

Anyhow, the gold lines on this map represent the distribution of on-line computerized cataloges in the pilot.

All different kinds of libraries are participating ranging from State library systems in Oregon and California to smaller libraries in Kentucky and some large ones at Michigan and Duke.

Mr. YATES. How many of them are there?

Dr. BILLINGTON. There are 12 non-federal and two Federal libraries, so there are 14 libraries all-told.

Mr. YATES. That have this computer access?

Dr. BILLINGTON. Yes. This is a pilot program which we will inventory and see how far we can extend to other libraries, as well. Our procedure under our new mode of operation and in general in the Library has been to try a pilot, test it, get the results and then see how we can continue to serve the nation.

Mr. YATES. What computer services do you give?

Dr. BILLINGTON. The full record and on-line data base is available to them. It is set up in such a way so that it doesn't interfere with the computerized services to the Congress or with our on-the-spot service to readers who come to Capitol Hill.

It is really a very important research tool and we are learning a lot about what the demand for it is; what the uses for it are; we will then evaluate the results.

We have also initiated in the past year the first machine-readable reading room where you use software as information. That has also been a successful enterprise.

We test everything along these lines and then hopefully we will be able to use it as a basis for expanding our services.

RESEARCH LIBRARIES

The diamonds represent 43 research libraries that exchange cataloging information regularly with the Library and the X's indicate that every State in the Union borrowed books from us free on an inter-library loan in 1989.

The last one is the pyramids indicating States with referenced correspondence agreements with the Library of Congress whereby we provide reference information by correspondence and often refer business back to the libraries. We are a major source of increased useage of local libraries because one of our functions is to refer the inquiries to these libraries so their citizens become aware of their services.

DUPLICATE BOOKS DONATED TO LIBRARIES

The squares show that 48 States, the District of Columbia and three territories received some of the half-million free book donations that we make from our duplicates of books and other materials received from all over the world.

What is notable about those donations is that they go disproportionately to smaller libraries. They have been a major stock in smaller libraries, which would have difficulty having any books at all. This gives you some idea of the kinds of services to the nation which the Congress' accumulation of this extraordinary reservoir of knowledge has permitted us to have.

Up to now, our government, through the Congress' creation and sustaining of its national library, has been able to sustain in one place as the basis of this kind of service a universal collection in almost every format, every language and every subject.

LIBRARY WITHOUT WALLS

This central knowledge base is unique in the world—and utterly irreplaceable. It constitutes the living intellectual core of America's future in this age of information. Technology—the electronic storage, selection, and transmission of information—will make it possible for the Library of Congress to become a library without walls. This library will increasingly serve the American people nationwide through a sophisticated network of local libraries which will be the community outlets funneling knowledge from the Library of Congress to local users.

In the 21st Century this Library and smaller research libraries will become the engines of increased, knowledge-based productivity in every sector. The Library of Congress will make available electronic surrogates of important selected collections for local use at other research libraries and at educational institutions. This will promote resource sharing; it will not be necessary for every public library, every university or every business to own what can be accessed elsewhere, and there will be substantial savings for the entire country.

NETWORKING

Proposals currently in Congress for a high speed, high capacity National Research and Education Network—the so-called computer highway—would greatly broaden access to all our resources. Already, the cataloges of major research libraries throughout the country, with active participation by the Library of Congress, are part of this network. The Library of Congress could play a major role in helping to make the proposed single network an everyday tool of researchers everywhere in America.

Mr. YATES. You talk about a network and the Library servicing this network. I assume that—you say connected to other major libraries. Could the facilities of the other major libraries be transmitted via that network to other members of that network?

Dr. BILLINGTON. Yes.

Mr. YATES. In other words, it is an interchange throughout?

Dr. BILLINGTON. Exactly. Integrated, that is the point.

Mr. YATES. It isn't just the Library of Congress it services, then; it is the whole Library function.

Dr. BILLINGTON. The leadership of the Library of Congress in establishing the bibliographical standards and working cooperatively with other libraries who are also doing this work makes this possible.

Mr. YATES. Is that in existence now?

COOPERATIVE PRESERVATION

Dr. BILLINGTON. Yes, and that is a model for the broader sharing of information cooperatively. This is a tradition, in fact, the Library of Congress's entire tradition since it originally began the cataloging operation, which made possible the chain of public libraries. The Library of Congress has always worked cooperatively with the nation's other leading libraries.

Preservation is another area where we work cooperatively. The Library of Congress and other libraries have agreed to a division of labor for preservation microfilming with the Committee on Preservation and Access, farming out various parts of this to different research libraries. In the division, the Library of Congress has done something over 40 percent of all the preservation microfilming done in the entire country. While we are one of many, we are a pretty indispensable central element in the national picture without which the others would have difficulty coping.

Putting the world's largest reservoir of human knowledge to good use for the nation is our mission. But it simply will not be possible in the future without a higher level of support than exists at present for the basic business of preserving and making available these collections.

Prompted by the Appropriation Committee's explicit requests during the last two years to itemize what it would take to solve the Library's long-accumulating problems of both preservation and arrearages, the Library is developing systematic plans for dealing with both of these problems.

REPORT ON UNPROCESSED ARREARAGES

The Library's report on unprocessed arrearages was submitted to this subcommittee at your request on December 1, 1980 (See page 641). The estimated costs of processing these arrearages are staggering, as with preservation. We are developing a pilot program to test different approaches.

Our budget request begins to address the problem by asking $7.3 million, primarily for more cataloging staff. This is the first step in a phased strategy designed first to stop present arrearages and then essentially to eliminate the backlog by the year 2000.

We intend to enlist all the help we can get. We have already been using unpaid student interns to do non-technical pre-cataloging work on arrearages in our map collections and in prints and photographs. As part of our pilot project, we plan to expand volunteer efforts by tapping into retirees and others who may have special skills that we can use. But we will still need more full-time professionals.

Cataloging the unique items in our collections—those found only in the Library of Congress—is a major step in sharing the wealth of the Library's collections with the American people. We are, for example, requesting funds to process nearly 700,000 items from the 1960s to the 1970s in the National Association for the Advancement of Colored People Archives.

We have already processed some 400,000 NAACP items in this heavily-used collection, principally covering 1919-1959, but we must finish the job—both to document the most significant movement toward equality in this nation's recent history and also to provide a model for cataloging other similar large-scale archival treasures.

Additional funds are requested to handle special format collections as well as books and periodicals. These special collections are the bulk of the giant arrearages we have. These collections uniquely document the history of the United States, and are usually unavailable elsewhere, but cannot be used or even secured so long as they remain unprocessed.

In addition to making the material known and accessible to scholars, the processing of large collections allows us to weed out unnecessary items, thus reducing the need for storage.

Chart 4 illustrates how in our inventorying of the arrearages we have weeded out great collections, the papers of Justice Warren, Justice Frankfurter and the Urban League. These are great fundamental collections, but we found that the very process of inventorying and cataloging them enables us to weed out some things which are newspaper clippings, duplicate items and others that aren't really fundamental documentation. Processing these collections will save space as well as make these materials accessible.

UNPROCESSED MATERIAL EXAMPLES

I have brought some examples of unprocessed materials in the Library's collections. This is an example. Newspapers, which we microfilm, this is the Tanzanian principal English-language newspaper, this is the government newspaper in Vietnam. We get a tremendous number of these newspapers and our arrearage has about 800,000 issues of foreign newspapers waiting to be microfilmed. Seventeen other libraries order the Tanzanian microfilm from us.

We get newspapers for other libraries. It may not be the first thing you want to reach for in the morning with your cup of coffee, but there is no part of the world which is not important to the American government and to many American researchers.

The fact that there are 17 customers for the microfilm of the Tanzanian newspaper is a good illustration of the unmet needs on African holdings, for instance. Here is a file from the NAACP Archives. I thought you might like to see what a simple folder looks like.

There is extraordinary cross-referencing of different levels of government, many people famous in American life. Here are letters from Thurgood Marshall when he was counsel to the Association back and forth with leaders of the government. All of this has to be processed for preservation purposes as well as archival purposes. This is the kind of container list that you can get which we don't presently have. We have it for the earlier NAACP things, but we don't have the later years.

Here is another kind of arrearage from the music division. This is the orchestral parts from John Philip Sousa's opera "The Glassblower." We have the largest collection of American music in the world by far and Sousa's music is having a great revival. His operas are not as familiar as his marches, but this has orchestral parts containing original annotations about how it was played the first time by Sousa's own instruction. If a scholar wants to know what he had in mind and if an orchestra wants to play it the way Sousa did, this is important.

This illustrates video cassettes of the best locally produced footage of events in Czechoslovakia in 1989. It is local filming—only parts of which ever appeared on television screens. These are the living documents of a great historical event which we get from the Foreign Broadcast Information Service; it is a lateral transfer from another branch of government, but unless you have it accurately cataloged with some crude indication of what is in it, it remains functionally almost useless.

Mr. YATES. How do you get that?

Dr. BILLINGTON. That is from the Foreign Broadcast Information Service.

Mr. YATES. What about the other Eastern bloc European countries; does that also give you footage from those?

Dr. BILLINGTON. Yes. Transcrips are published in the Foreign Broadcast Service publications, but these are video communications which is relatively new.

Since we collect all media, and increasingly the historical record is being transmitted through television, so having a video record and having it accessible is extremely important for matters of policy as well as history.

1930'S SOVIET UNION FILM

We received 300 films by a producer who took films of things that no one else saw in the inter-war period. These are films of 1930 of the Soviet Union just before the first five-year plan went in, one of 300 films by this producer. But there is no description of what is in it. We receive gifts of this kind and unless there is at least some crude bibliographic entry, people know it is there but not what uses it may have.

This happens to be a particularly interesting and ingenious film maker. We get collections like this all the time, and it is important to get them cataloged. This next one comes from exchange with Russia. Increasingly exchange materials from the Soviet Union are in microfilm.

It turns out that this is the records of the Ministry of Internal Affairs, which is a fairly interesting institution, those of you who are familiar with Russian history. It is Czarist, not yet in the Soviet period, but this is material that no one—probably not even in the Soviet Union has access to.

This is functionally very difficult to use. It isn't clear what is on it, so some kind of cataloging has to be done before it can be used, and processing is needed to make a service copy of the whole thing so it can be used more efficiently.

Mr. YATES. Has anybody in your organization seen these? Does anybody look at them?

Mr. FAZIO. We will be talking more about that.

Dr. BILLINGTON. This is not an entirely innocent presentation, I have to say. But the thing is, it doesn't do any good to just have somebody look at it.

What you have to do is to have somebody look and make some kind of a record that the next person can use.

POSITIONS REQUESTED

Mr. YATES. How many people are engaged in that process?

Mr. FAZIO. Not enough.

Mr. YATES. I don't mean now, but how many will it require?

Dr. BILLINGTON. We are asking for 160 more in this area and for the filling of some unfunded present positions.

Mr. YATES. And the purpose of that is to make sense out of your collection?

Dr. BILLINGTON. To cutback these arrearages. These are all actual examples. This is an extremely rare and fascinating thing.

This illustrates the French attempt at building the Panama Canal in 1880, a photographic record, nothing like this exists anywhere in the world. It is pretty gory stuff, some of it. These are pictures from the archives from the Canal Zone Library. We received them in 1978 by transfer from the Canal Zone Library. They are inventoried only, and there is much work still to be done, but they are very good pictures for that period.

These are political cartoons. We have about 9,000 of these sitting in arrearages. I don't think I need provide commentary.

These are documentary photographs of some of the Native American tribes from the Pacific Northwest. These were received through copyright deposit. These have both a need for preservation work and for cataloging. I suppose the new Indian Museum would benefit from having our rather unique collection of photographic record more bibliographically available.

SCIENCE AND TECHNOLOGY MATERIALS

To show you another aspect of this arrearage problem, we have, I think, the world's largest collection of scientific and technical literature—semi-published things. These are just four illustrating the immense amount of Japanese science and technology material that we have. This has been substantially enhanced by the acquisition of the National Translation Center from the University of Chicago in the past year.

We have these reports, which are not books; they don't show up in periodicals, but they are extremely important for keeping up with science and technology in Japan.

This one is in Japanese, but a great many are in English and could be usable if we could get them under at least minimal bibliographical control and make them known to other American libraries. Once they are in the bibliographic records these can be accessed by people throughout the country who have a direct need in their scientific and technical work.

The dispersion of talent and of accomplishments in science and technology is global now and there is no other global library with the comprehensiveness of the Library of Congress, collecting in more than 400 languages and with people who can read the languages to do the catalogs.

The last item, just to show you that it is not all serious—I hesitate to comment on the relevance of this one. This was received from the artist's family and is a contemporary, on-the-spot sketch showing a picture of John Quincy Adams in the House of Representatives where he served after being President, but again it is not cataloged.

I don't know if we want to make that first priority, but this was received as a gift from the artist's family two years ago and there are many such things that are of more than passing interest which simply because they are in these categories that are not of the highest priority, they simply don't get cataloged.

That gives you some sense of the variety.

Mrs. **Boggs.** Maybe we should put that in the Congresswomen's Reading Room where he was brought to die after he was stricken in what was the House Chamber.

PHOTONEGATIVE PROJECT

Dr. **Billington.** Perhaps we should. I will finish up rapidly here.

I have spoken about and tried to illustrate the arrearage problem. I have spoken in the past and tried to illustrate the preservation problem which has many aspects, but I would just say for this year to maintain the momentum built up over the last several years in Preservation, we are requesting an increase of $1 million to provide funding for the photonegative project approved in the 1990 budget, for increased microfilming costs to replace outmoded scientific equipment and for the book repair unit of the Binding Office, which is essential as we prepare the books for the mass deacidification.

SECONDARY STORAGE FACILITY

Secondary storage is a necessity, Mr. Chairman, because stack space in the Library will reach its maximum practical capacity by the end of fiscal year 1992, I am again requesting funds—$5.4 million—for a secondary storage facility.

Funds are needed in 1991 because of the lead time required to acquire and furnish the facility which would have a capacity of three million volumes and would provide for expansion of the collection for the next decade.

EROSION OF BASE

Our most basic problem in providing a base on which this Library can operate is in the area of mandatory payments. Approximately 28 percent of the total increase requested for fiscal year 1991, or $16.4 million, is for mandatory pay-related items.

The Library's 1990 appropriation requires us to absorb $10.9 million out of a total of $16.1 million in mandatory pay increases.

The practice of not fully funding the Library's mandatory payments or not funding them at all has resulted in a steady erosion of the number of Library staff.

More than 13 out of each hundred authorized positions has to be left vacant. This is an alarming increase even over last year's already unacceptable lapse rate of 10 out of 100.

The result is an accelerating deterioration of service in all of the Library's programs and services, which, if unchecked, will soon force us to curtail services or to stop collecting in some vital areas.

STAFF DEVELOPMENT

Beyond the mere numbers of staff, the question of staff development has been identified as not only one of the greatest challenges, but one of the greatest opportunities.

We must give the talented people we have opportunities to reach their highest potential.

Our employees need training and retraining—especially to make possible advancement for more minorities from the sub-professional to professional categories.

Yet, training funds are far below the amounts routinely available to other Government agencies—and totally inadequate for the complex tasks the Library performs as well as for our very real affirmative action needs.

In addition, we should reward outstanding performance. Yet the Library has no current budget base for performance awards. So we have important proposals in to help deal with all those problems.

GAO AUDIT

As I indicated at my first hearing as Librarian two years ago, I requested an audit of the Library by the General Accounting Office.

Auditors have been on site at the Library beginning in 1988.

Since this budget was prepared, I have received a preliminary briefing from GAO on the preliminary results of their audit.

Our own internal review process has already pointed to the need for fundamental improvements in the financial management area, and our proposed fiscal year 1991 budget includes resources for this purpose.

The GAO's findings further underscore the need to improve the Library's accounting records and accounting system.

Among other steps, we are requesting six new positions for financial management to provide adequate accounting services across the board and an evaluation of our internal controls.

ESSENTIAL LIBRARY NEEDS

In conclusion, Mr. Chairman and members of the committee, I realize that we are not asking for routine increases in the Library of Congress budget for fiscal year 1991, but I cannot in good conscience fail to present to you what I consider to be the essential needs of the Library of Congress.

We cannot let the erosion that has been occurring for some years continue. We must have a healthy base on which we can build for the future.

The Library of Congress is a unique national institution which, thanks to Congress, no other nation in the world has been able to equal and many others are seeking actively to emulate.

It is actively assisting in the democratization process—the creation of knowledge-based legislatures and more open libraries in the USSR and Eastern Europe.

In an age in which every individual is information dependent, the Library is quite simply one of America's greatest national resources.

This nation's library must continue to grow. Excellence in education, in research, in corporate enterprise depends upon knowledge and information being made available to inquiring minds. We all know this.

The Library of Congress needs increased financial support to establish a solid foundation for knowledge and learning in America as we move into our third century.

My colleagues and I will be pleased, Mr. Chairman, to respond to any and all questions.

Mr. FAZIO. Thank you very much, Dr. Billington.

[The statement of Dr. Billington follows:]

Statement of James H. Billington
The Librarian of Congress
before the
Subcommittee on Legislative Branch Appropriations
Committee on Appropriations
U.S. House of Representatives
February 5, 1990

Mr. Chairman, Members of the Subcommittee:

I am pleased to present the budget of the Library of Congress for fiscal year 1991. Our budget request totals $326 million, an increase of 22 percent over fiscal 1990.

This proposed budget presents the real needs of the Congress' library -- the national library of the United States, the world's leading library -- as we enter a new decade. It is not a wish list, but the solid base needed to continue performing its established mission.

The Library is now at a crossroads in its long and distinguished history. We have completed a large-scale management review. We have undertaken a major reorganization. We have identified our mission, our problems, and our potential for service. We have developed a practical long-term strategy to provide leadership in supplying the information and knowledge needs of the American people for the 21st Century.

Thanks to advances in technology and in public awareness, the prospects have never been better for using the Library's great assets in new ways to help our nation deal with the complex new world of the future. Our people know what we have to do, and we are committed to finding better ways to do it.

However, this Library is increasingly unable to carry out its mission because of inadequate funding. The Library of

Congress is the jewel in the crown of America's great cultural and intellectual resources. Few Americans would dispute that fact. Yet, annual appropriations for the Library have increased only 14 percent during the past six years. Since 1984, comparable national cultural institutions in Washington have received increases in federal appropriations of 38 to 68 percent -- often supplemented by private funds which the Library has not had.

The Library has been allowed to fall behind. It has simply not been able to keep up with inflation in book prices, with the requirement to absorb sequestrations, and with the need to absorb all or most of recent mandated annual pay raises. (Chart #1) An essentially declining annual appropriation has begun to erode the Library's ability to serve the nation. The Library now employs 475 fewer employees on federal appropriations than in 1984. This alarming erosion should not be allowed to continue.

We are making every effort to obtain private support to enhance some of the Library's outreach programs. We will also be asking for statutory authority to charge fees for specialized and tailored services. But even the greatest foreseeable success in these efforts would not affect our need for the appropriated funds to sustain the basic programs of the Library of Congress. Private funds and fee for service will allow us only to broaden our public programs and to offer new specialized services to exploit the Library's collections.

Sharing Library Resources

The Library of Congress makes a profound difference in bringing information to the Congress and to the American people. We conservatively estimate that our cataloging services alone save the nation's libraries $352 million annually. (Chart #2) We demonstrated last year how we can bring the Library's resources as well as the bibliographical record to schools and libraries through our multi-media American Memory project. This project is on schedule; it is attracting substantial private support thanks to the support and vote of confidence provided last year by the Congress.

This library truly is the American memory. The Library of Congress alone has done half of all the film preservation ever done in America -- and nearly half of all preservation microfilming. The Library of Congress annually answers some 2 million reference inquiries from around the country and 500,000 copyright inquiries.

Other current programs of the Library show what can be done for the nation at very little cost to share our incomparable resources.

The Library's contribution to the Bicentennial of the U.S. Congress was an outstanding exhibition, "To Make All Laws -- The Congress of the United States 1789-1989" in the Madison Gallery. We also organized a traveling exhibition which is now crossing the United States to 31 sites. Our Educators' Institute brought school teachers and librarians from some 21 states to Washington last summer to study the Congress; later, they shared what they learned with other teachers and librarians in the localities where the exhibit will be shown. One of the participants, a teacher from South Dakota, told her local newspaper, "I feel like I went to Washington, D.C., and somebody gave me a blood transfusion. I hope the kids get excited, and get an opportunity to see our government in action."

At a time when Eastern Europe is trying to organize free legislatures as the cornerstones of new democracies, public attention to the history of our own national legislature has special relevance. The exhibition catalog was a popular, illustrated history of the Congress written by the chief of the Library's Manuscript Division, James Hutson, a prominent American historian. The book has received fine reviews. Houghton Mifflin will publish a hardback edition for secondary schools with an introduction by former Speaker O'Neill.

One of the Congressional Research Service's contributions to the Bicentennial of Congress was another book -- a book of quotations -- "Respectfully Quoted," published by the Government Printing Office. It received high praise from book reviewers and was out of print in 7 months. GPO has gone back to press with the publication and has back orders for 900 copies.

Another new initiative this year which has had exciting results is the Library's pilot program to connect on-line 14 libraries of all types from all parts of this country to its machine-readable bibliographic and other files. Even in the early phase of the program, we are finding active use of the files and an enthusiastic response from the participants. Many of the libraries have launched publicity campaigns to let their users know that they can access Library of Congress files electronically through their local library. This effort has cost the Library of Congress very little but is proving highly beneficial to librarians and scholars across the country who pay the telecommunications costs.

Internationally, too, the Library of Congress is playing a key role in helping reconstruct the library culture of the USSR -- and make it more supportive of the trends toward democratization and openness -- with almost no expenditure of appropriated funds.

The Library of Congress in the 21st Century

Up to now, our government through its national library has been able to sustain a universal collection of knowledge in one place -- in almost every format, every language, and every subject. This central knowledge base is unique in the world -- and utterly irreplaceable. It constitutes the living intellectual core of America's future in this age of information. Technology -- the electronic storage, selection, and transmission of information -- will make it possible for the Library of Congress to become a library without walls. This library will increasingly serve the American people nationwide through a sophisticated network of local libraries which will be the community outlets funneling knowledge from the Library of Congress to local users.

In the 21st Century this Library and other research libraries with important collections will become the engines of increased, knowledge-based productivity in every sector. The Library of Congress will make available electronic surrogates of important selected collections for local use at other research libraries and at educational institutions. This will promote resource sharing; it will not be necessary for every public library, every university or every business to own what can be accessed elsewhere. A national coordinated book -- and materials -- collection program would result in substantial savings for the entire country.

Proposals in Congress for a high speed, high capacity National Research and Education Network -- the so-called computer highway -- would greatly facilitate this broadening of access to all our resources. Already, the catalogs of major research libraries throughout the country, with active participation by the Library of Congress, are part of this network. The scientific community is actively creating a system enabling researchers remotely to access and use datafiles and libraries, including text, graphic, audio, and video. The proposed single network would fulfill the requirements both of those who create and exchange knowledge and of those who search for information. The Library of Congress could play a major role in helping to make this network an everyday tool of researchers in all sectors of American life in the 21st Century.

Arrearages

Putting the world's largest reservoir of human knowledge to good use for the nation is our mission. But it simply will not be possible in the future unless the basic business of preserving and making available the collections gains a higher level of support than exists at present.

Prompted by the Appropriation Committee's explicit request during the last two years to itemize what it would take to solve the Library's long-accumulating problems of both preservation and arrearages, the Library is developing plans for dealing with these problems step-by-step.

The Library's report on unprocessed arrearages was submitted to this Subcommittee at your request on December 1. (Chart #3) The estimated costs of processing these arrearages are staggering. We are developing a pilot program to test and evaluate different approaches for coping with this problem. The pilot program will emphasize the most economical and least disruptive approach to tackling mounting arrearages. We will submit an amendment to our budget request that encompasses the pilot program, once it is ready to go.

Our budget request before you today begins to address the problem. We ask $7.3 million, primarily funds for more cataloging staff, to reduce the growth in arrearages. This is the first step in a phased strategy designed to stop present arrearages and essentially eliminate the backlog by the year 2000.

As you know, I have frequently spoken of getting the champagne out of the bottle -- that is, sharing the wealth of the Library's collections with the American people. Cataloging the unique items in our collections -- those found only in the Library of Congress -- is a major step. We are, for example, requesting funds to process nearly 700,000 items in the National Association for the Advancement of Colored People Archives. These records date from the 1960's to the 1970's and uniquely document the most significant movement toward equality in this nation's recent history. We have already processed some 400,000 items in the collection, principally covering 1919-1959, but we must finish the job -- both for its own sake and as a model for other similar treasures.

Additional funds are requested to handle currently acquired materials for other kinds of special format collections as well as for books and periodicals. These collections document the history of civilization with special emphasis on the United States. Many of them are not available elsewhere. As long as they remain unprocessed they cannot be used, their security is endangered, and their preservation is delayed.

In addition to making the material known and accessible to scholars, the processing of large collections allows us to weed out unnecessary items, thus reducing both the size of the collection and the need for storage. (Chart #4)

Preservation

The preservation of our collections has been a major priority. We have previously discussed at length with you our preservation objectives.

To maintain the momentum built up over the last several years, an increase of $1 million is requested to provide funding for the photonegative project approved in the 1990 budget, for increased microfilming costs, for the replacement of outmoded scientific equipment, and for additional staff for the book repair unit of the Binding Office. The fiscal 1991 request for the book repair unit would allow us to more than double the number of books repaired and made ready for mass deacidification.

Overseas Acquisitions

The 1991 budget also includes $1 million which enhance our ability to collect materials from overseas field offices. We are seeking appropriations to support new overseas collection facilities in West Africa and Central America. These offices promise considerable savings for the Library by purchasing at local prices, selecting on the spot, and employing local staff to process the material.

Analysis and Information on Japan

In response to growing Congressional interest in Japan, the 1991 budget request contains new initiatives to increase the depth and breadth of policy analysis and research on issues related to U.S.- Japan relations, and to improve Congressional access to information and expertise on Japan. Funds for these initiatives are requested in the Congressional Research Service budget, in Collections Services, and in the Optical Disk request.

Constituent Services

The reopening of the Main Reading Room during this calendar year means that unfunded positions in Constituent Services must be funded in order to provide adequate service to readers. This magnificent room in newly furnished and restored quarters with 300 reader seats and sixty new workstations in the computer catalog center is reason for great celebration. In many ways, the Main Reading Room is the symbol of this nation's commitment to learning as the basis for democracy. The Congress of the United States can take full credit for this great contribution to scholarship. I hope each of you will have an opportunity to see the newly-restored Main Reading Room here on Capitol Hill prior to its public opening. We are requesting $2 million for Constituent Services.

Law Library

The Law Library has increasingly become important to Congress and the executive and judicial branches in interpreting foreign laws during a period of great international change. We are requesting $.7 million to provide timely legal reference, research and analysis on the laws of the nations of the world as well as to contribute to the acquisition of materials and their more timely processing and maintenance. As an example of the value of these services to our nation, the Hispanic legal specialist in the Law Library briefed the Departments of State and of Justice during the recent activities in Panama.

Secondary Storage Facility

Because stack space in the Library will reach its maximum practical capacity by the end of fiscal 1992, I am again requesting funds -- $5.4 million -- for a secondary storage facility. Funds are needed in 1991 because of lead time required to acquire and furnish the facility. Reducing unprocessed arrearages will increase the number of books and other library items to be shelved making the need for additional space acute. Unless additional storage space is available, it will be impossible to provide satisfactory reader service and adequate preservation of the collections. The facility would have a capacity of 3 million volumes. It would provide for expansion of the collections for the next decade.

Mandatory Payments

Two items which affect the overall performance of the Library are mandatory payments and staff development. Approximately 28 percent of the total increase requested for fiscal 1991, or $16.4 million, is for mandatory pay related items. The Library's 1990 appropriation requires us to absorb $10.1 million out of a total of $16.1 million in mandatory pay increases. The practice of not fully funding the Library's mandatory payments has resulted in a steady erosion of the number of Library staff. The Library had 4,883 employees paid for by appropriated funds in fiscal 1984. The comparable figure today is 4,408, a decrease of 475 staff members. More than one out of ten authorized positions has to be left vacant. The result is an unacceptable deterioration of service in all of the Library's programs and services. If this trend continues, we will have to curtail services and stop collecting in some vital areas.

Staff Development

To provide the best possible service to the Congress and the nation, we must provide opportunities for the Library's staff members to reach their highest potential. Our management review pointed to this practical need. In the information age the Library of Congress requires a wide range of technical and linguistic skills. Its employees need training and re-training -- especially to make possible advancement for more minorities from the sub-professional to professional categories.

Yet training funds are far below the amounts routinely available to other government agencies -- and totally inadequate for the complex tasks the Library performs as well as our affirmative action needs. We should reward outstanding performance, yet the Library has no current budget base for performance awards. The 1991 budget includes a request of $3.2 million for funds for affirmative action, staff development and the recognition of outstanding staff members through appropriate monetary rewards.

Management Support and Automation

To improve the Library's management support and automation services, we are requesting an increase of $7.9 million.

As I indicated at my first hearing as Librarian two years ago, I requested an audit of the Library by the General Accounting Office. Auditors have been on-site at the Library beginning in 1988. Since this budget was prepared, I received a briefing from GAO on the preliminary results of their audit.

Our own review process had pointed to the need for fundamental improvements in the financial management area. Our proposed fiscal 1991 budget includes resources for this purpose, and the GAO's findings further underscore the need to improve the Library's accounting records and accounting system. Following receipt of the final GAO report, we will reassess our current improvement efforts and determine if any additional resources are necessary.

We are requesting six new positions for financial management to provide adequate accounting services across the board in the Library, including an evaluation of our internal controls.

The high priority for automation recommended as a result of our strategic planning process is to modernize outdated systems. In addition, increases in this budget are for continued growth and support of the Library's telecommunications infrastructure. As an example of how automation has had an impact on productivity, I am happy to report that implementation of the optical disk program for CRS' Selective Dissemination of Information (SDI), which is built on the Library pilot program started in fiscal 1985, is well underway. It is already helping us respond in a much more timely manner to Congressional requests than was possible using paper and microfiche. Some expansion of the system is requested in 1991 to increase the number and types of documents included, with emphasis on Japan information.

Copyright Office

There has been a significant reduction in positions in the Copyright Office during the last several years when registrations have reached an all time high. New positions are needed to handle a backlog and to keep registrations current. A fee increase has passed the House of Representatives and is pending in the Senate. We are requesting an increase of $5.7 million. Anticipated increased receipts would offset the funds requested for the new positions and for converting the copyright catalog to machine readable form.

Congressional Research Service

We are requesting an increase of $7.7 million for the Congressional Research Service for mandatory costs and staff development, funding for unfinanced positions, and to improve Congressional information and research on Japan. Mr. Ross will speak to the CRS request.

National Library Service for the Blind and Physically Handicapped

The requested increase of $5.1 million for the National Library Service for the Blind and Physically Handicapped is to maintain the program at 1990 levels.

Private Sector Efforts

I know that this Subcommittee has been interested in the Library's efforts to obtain private sector support for some of its external programs. Last week, we brought together for the first time our newly-established James Madison National Council, whose members have already made financial contributions to the

Library. They spent a day being introduced to our programs and seeing first-hand the crown jewels in our collections. We also received a gift of $1 million from the International Cultural Society of Korea marking the occasion of the U.S. Congressional Bicentennial and the beginning of the Library's own project to celebrate its 200th birthday. The gift will help enhance our Asian collections with special attention to our Korean books, manuscripts, and periodicals -- now the largest collection of Korean materials outside Korea.

Private sector support is designed to cover outreach activities and perhaps eventually to generate some of the kind of patronage that the Library of Congress has not had in decades. However, such support will never eliminate the need to fund the basic management and service functions of the Library. The constancy of Congressional support has been the most important selling point in our recently successful efforts to increase private funding.

Conclusion

In conclusion, Mr. Chairman and Members of the Committee, I want you to know that I realize that we are not asking for routine increases in the Library of Congress budget for fiscal 1991.

However, to repeat, we are at a crossroads in our history. I cannot in good conscience fail to present to you what I consider to be the essential needs of the Library of Congress. We must meet the collections and services responsibilities of the

1990's as well as remedy the basic internal problems that confront our managers. We cannot let erosion continue. We must have a healthy base on which we can build for the future.

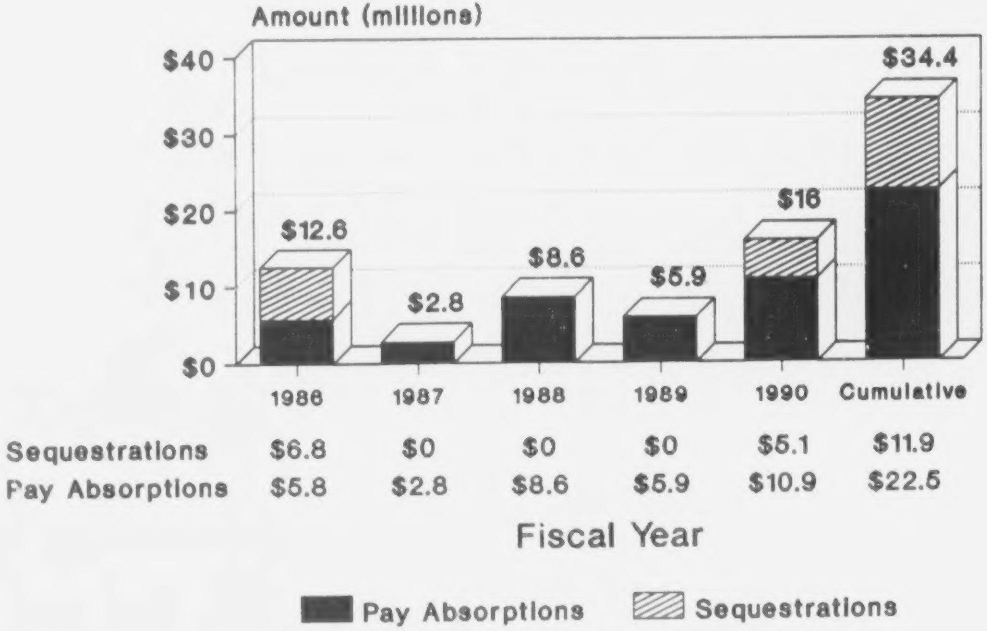
We know what we have to do. With adequate funding we can chart the course of the Library of Congress as it has been set forth in our external and internal reviews and in our testimony before Congress.

The Library of Congress is a unique national institution which, thanks to Congress, no other nation in the world has been able to equal. In an age in which every individual is information dependent, the Library is quite simply one of America's greatest national resources. This nation's library must continue to grow. Excellence in education, in research, in corporate enterprise depends upon resources of knowledge and information being made available to inquiring minds. We all know this. We need increased financial resources to establish a solid foundation for knowledge and learning in America as we move into our third century.

My colleagues and I will be pleased to respond to your questions.

Chart 1

LIBRARY OF CONGRESS
Pay Absorptions and Sequestrations



Cumulative is net of catch up amounts

Chart 2

Library of Congress
Estimated Dollar Savings to the Nation's Libraries as a result of Library of Congress Cataloging

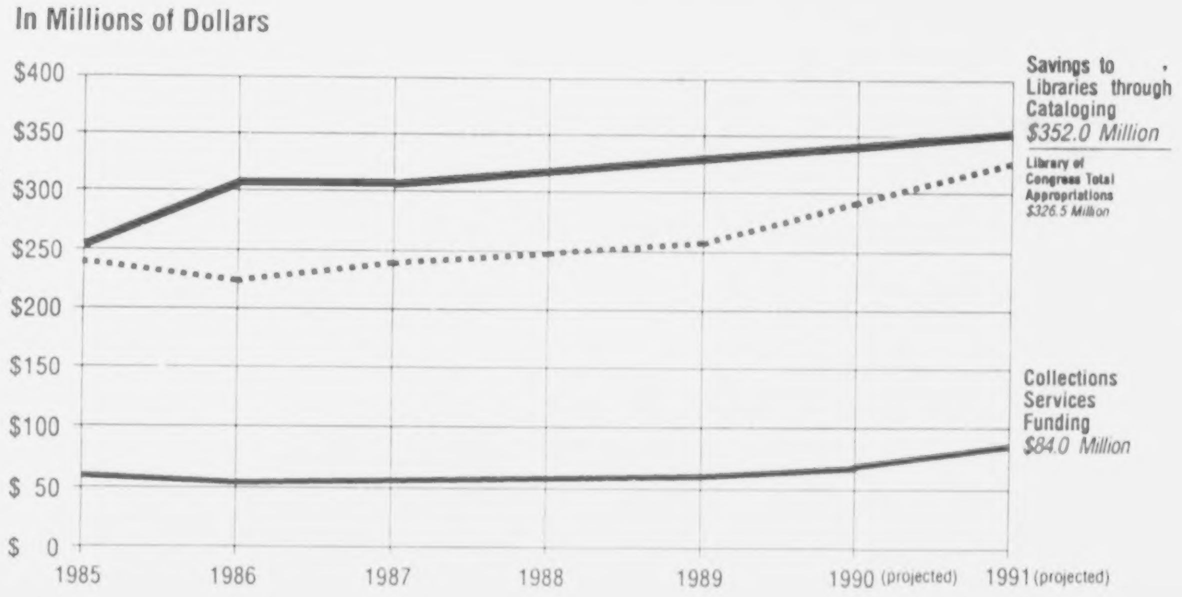
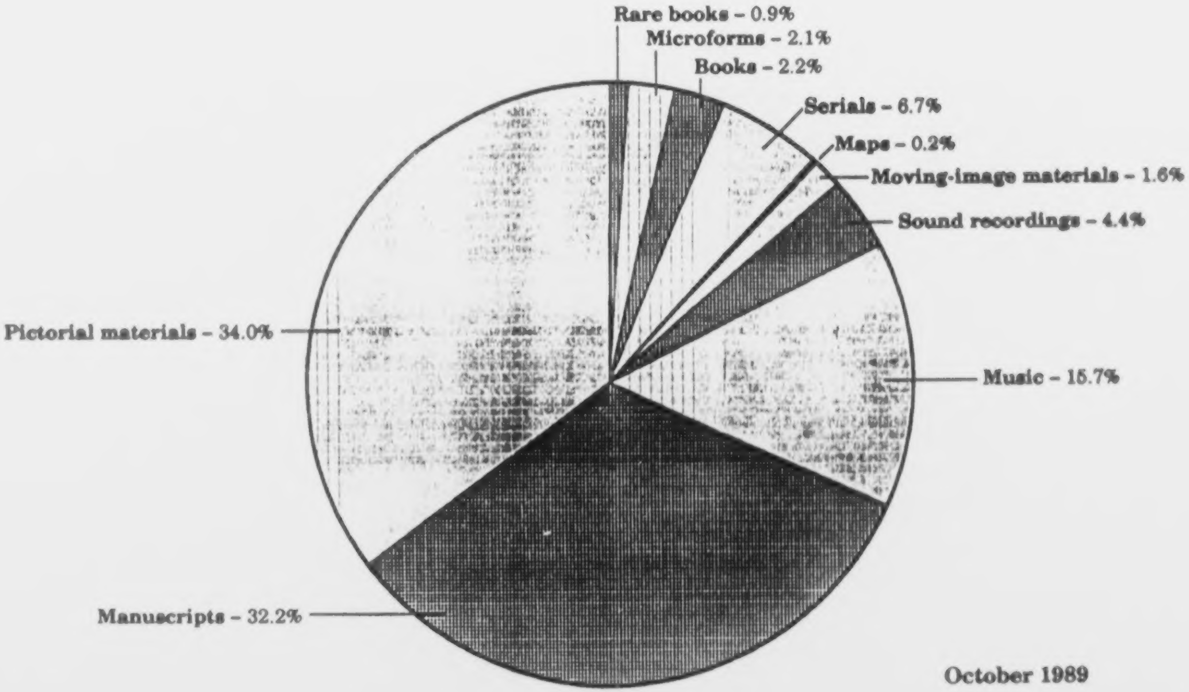


Chart 3

COMPOSITION OF THE UNPROCESSED ARREARAGES
Percentage of Total Items

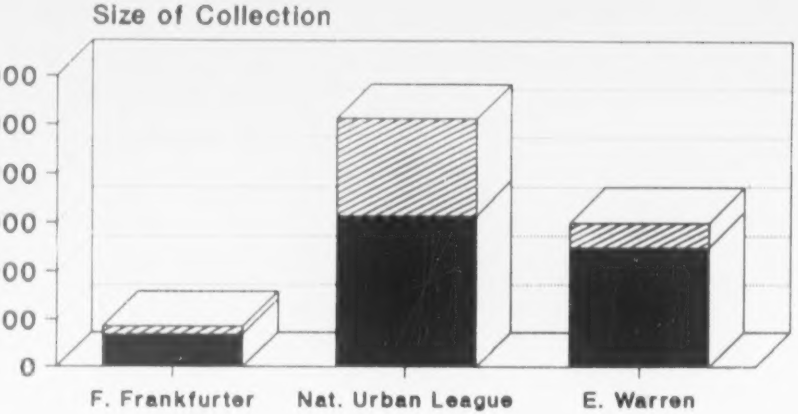


October 1989

Chart 4

LIBRARY OF CONGRESS

Results of Processing Arrearage



	F. Frankfurter	Nat. Urban League	E. Warren
Disposed Items	16,650	197,000	50,000
Retained Material	69,800	314,000	250,000

Type of Collection

■ Retained Material ▨ Disposed Items

Source: Library of Congress Archives

CHAIRMAN FAZIO'S STATEMENT

Mr. FAZIO. I know you consider this a particularly important budget presentation and one that you think is without precedent, in the sense that it is a dramatic increase. It is also one that you feel is well documented as a result of the reorganization study. There are a number of other things that you are finally able to bring to the committee only after having had an opportunity to fully understand the Library since your arrival not too long ago.

It is important to note that some of the problems that you are experiencing at the Library are true in many other agencies in the domestic sector of the budget that are personnel-oriented.

Absorption and sequestration rates, for example, are an unhappy byproduct of tight domestic spending and in real terms, our appropriations are not keeping pace with the demands placed on this country in a wide range of areas. That is not to denigrate the importance of the impact on the Library.

COMPARISON TO 1980 SPENDING

I asked Mr. Lombard to obtain some information. Mrs. Boggs and Mr. Yates will also appreciate this.

In 1991, in terms of the requests made, we are spending $106 billion in 1980 dollars on domestic discretionary funds.

In 1980 we were spending $148.4 billion. Today we have reduced these programs to $106.6 billion in real dollars for domestic discretionary programs in a $1.2 trillion budget.

Payments to individual entitlement programs have gone up from $324 billion to $432 billion, defense from $164 billion to $235 billion, net interest on the debt from $62 billion to $126 billion. That is where a lot of the new growth is.

So this committee that we are proud to sit upon has, except in the defense sector, which affects one or two other subcommittees military construction certainly a good deal—this committee has been forced to operate on about two-thirds of what it had in real dollars in 1980 for domestic programs.

I regret the impact that sequestration and absorption have had on the Library. But, I would like to point out that it is not unique and that there are many other elements of our domestic appropriations that have been hit as hard or harder.

Of course, the problem encountered by the Library are also encountered by a number of legislative branch agencies. There is no real ability to make major reductions in programs.

The Library's budget is largely comprised of personnel related funding and it is these kinds of agencies that have the hardest time absorbing pay increases and across-the-board cuts which come at the end of the budget process despite our efforts to avoid them. There were two major reductions in fiscal year 1990.

I can tell you—and I am sure Mrs. Boggs, Mr. Yates and other Members agree—that it will be difficult to avoid sequestration this year because sequestration will actually give the Administration more defense spending than they are proposing in their own budget.

So the prospect of avoiding an across-the-board cut is not good, although I hope we can.

It doesn't bode well for the future.

Despite the amounts we appropriate and we want to do the best for the Library, we can't predict the effects of sequestration.

As these figures show, every other portion of the budget continues to grow, entitlements pour out the door, defense spending has been reined in, only recently and interest on the debt continues to absorb a larger and larger portion of the budget, now twice as large as it was in 1980.

I am afraid the Library is, caught up in a conundrum that is devastating and I am only hopeful that this year we can move in the direction of getting out from behind this eight ball that we have seen ourselves being overshadowed by in recent years.

ARREARAGES

I would like to speak on the arrearage issue and then go on to a number of other issues.

For the past several years, the committee has expressed a great deal of concern about the growing arrearages. We are aware that processing at the Library has not been keeping pace with acquisitions, and as a result, many millions of items are unprocessed, virtually useless to the Congress and readers and researchers everywhere.

Last year in our appropriations bill we directed that a working inventory be developed and a plan be presented. We are very pleased that this past December the report was submitted to the committee. The report, which you have submitted to us in your testimony, has been provided to each member of the subcommittee and it contains startling information.

[The report follows:]

Unprocessed Arrearages of the Library of Congress

A report submitted to the

House and Senate
Committees on Appropriations

December 1, 1989

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EXECUTIVE SUMMARY

In response to Congressional concerns resulting from the Library's year-long review of its programs, the Library of Congress has conducted the first comprehensive census of its unprocessed arrearages. The Library proposes to undertake a program leading to the practical elimination of these arrearages by the year 2000 and will conduct a pilot program to identify and test the most efficient ways of doing so.

The census provides unprecedented knowledge about the arrearages and their effect on the Library's services and operations. The unprocessed arrearages total 38,069,000 items. These include 1,178,000 books (3.1 percent of the total), 2,543,000 serials (6.7 percent), and 34,348,000 items (90.2 percent) in a variety of other formats. By format, the two largest arrearages are pictorial materials (12,943,000 -- 34.0 percent) and manuscripts (12,255,000 -- 32.2 percent) The arrearages are now growing at an overall rate of about 4.8 percent -- some 1,820,000 items annually.

Success in dealing with the arrearages means stopping further growth and reducing the existing arrearages to the lowest level consistent with the provision of adequate service to the Library's constituents. As many as 20 percent of the items in the current arrearages, especially lower-priority manuscripts and graphic materials, might not need to be processed because, upon examination, we will determine that their research value is insufficient to justify the expense of processing or that they do not need to be processed in order to be accessible.

The Library has developed estimates of the labor costs to accomplish its arrearage goals. *Based on **current** processing procedures*, the estimated total labor cost of stopping further growth and reducing today's arrearages by 80 percent would be $616 million during the Fiscal Year 1990-1999 period. This amount is in addition to the positions authorized for Fiscal Year 1990. Decreasing these labor costs will be a major objective of the Library in the years immediately ahead. The Library has a critical need for working and storage space which must be resolved to permit adequate progress in arrearage work. The combined cost of this space and additional expenses for preservation, automation support, supplies, equipment, and furniture are estimated to be at least equal to the processing labor costs.

Arrearages are affected by three factors: *acquisitions, available resources,* and *processing requirements*. Efforts to control and reduce arrearages will require refinements in acquisitions policies, changes in processing requirements, more effective and efficient use of present resources, and whatever additional appropriated funds and other resources can be obtained. The Library has been directed by Congress to make the arrearages its highest priority. In response, the Library will adjust a number of its priorities and make major changes in its procedures. The huge size and continued growth of the arrearages must be met with bold, innovative measures and the sustained support necessary to accomplish the goals presented in this report.

Because there is no precedent for the challenge presented by the arrearages, and because the Library must determine the most economical and least disruptive methods for dealing with them, it is preparing a three-year pilot program for Fiscal Years 1990-1992. Focusing on specific goals for arrearage reduction and involving all formats of materials, the pilot will be conducted to refine policies and procedures, develop and test innovations, and obtain a variety of additional resources. Favorable experimental results will be applied on a broad scale wherever possible. A management plan for the pilot program will be completed in February 1990, and the Library will submit a supplemental appropriation request covering needs for Fiscal Years 1990 and 1991 shortly thereafter. Careful execution of the pilot will result in demonstrable progress in reducing key arrearages and permit an assessment of the impact of policy and procedure changes and other innovations. As the pilot proceeds, revised projections of the additional resources needed to achieve the 10-year goals will be developed. Depending on the resources that are available, the Library's work during Fiscal 1993-1999 will focus on accomplishing either the remainder of the 10-year goal or a less ambitious program.

In establishing its goals, the Library has emphasized the achievement of major short-term reductions in arrearages of published books and serials. These are the materials most in demand by our primary client, the Congress. Furthermore, making Library of Congress cataloging for these items available to other libraries yields millions of dollars in savings in their own processing costs while at the same time speeding the availability of materials for their constituents. The focus on published materials thus provides in a more timely and cost-effective manner the cataloging most needed by the Library of Congress and other libraries.

I. Introduction

Unprocessed arrearages have presented a challenge to the Library of Congress for many years. Their growth, while uneven, has continued because the Library's processing resources have not kept pace with the large volume of acquisitions, particularly in non-book formats.

Today's arrearages are the largest in history, totalling more than 38,000,000 items and growing at a rate of almost 2,000,000 items each year. Recognizing that this situation must be corrected, the Library proposes to undertake a project to stop arrearage growth and reduce existing arrearages by 80 percent over the next ten years.

Arresting the rapid growth and making necessary reductions in the arrearages will require major changes in the Library's processing requirements and procedures. Beyond this, a very large amount of additional resources will be necessary. The labor needed to stop the growth would cost an estimated $23,128,900 annually. Furthermore, reducing today's arrearages by 80 percent would require $384,913,000 in increased labor costs alone. (These and all other labor costs in the report are based on 1990 compensation rates.) Labor costs are only part of the need, however. The Library already faces a critical shortage of storage space for its collections, and does not have sufficient working space for all of the staff required to deal with the arrearages. Major additional funding will be required for preservation work, supplies, furniture, and equipment for storage.

To obtain a comprehensive understanding of the extent and character of the unprocessed arrearages, the Library's Transition Team approved the establishment of a Special Project Team for Unprocessed Arrearages in late April of 1989. Composed of 19 experienced staff members from throughout the Library, the Special Project Team was directed to conduct a complete census of the arrearages, determine the resources necessary to process them, and prepare a plan for reducing them significantly.

Soon after the team began gathering information, the House Appropriations Committee directed the Library to transmit an arrearage reduction plan to the House and Senate Appropriations Committees by December 1, 1989, to include certain approaches specified by the committee. Subsequently, the Conference Report on the Fiscal 1990 Legislative Branch Appropriations Bill indicated that the Library was to make arrearage reduction its "highest priority." This report is submitted with that understanding.

II. The census of unprocessed arrearages

A. Definitions. To clarify the scope of its work and to guide its activities, the Special Project Team for Unprocessed Arrearages carefully developed the definitions shown and discussed below.

1. Library materials are physical objects intended for the Library's collections.

Therefore, things such as purchase orders, unfiled cards, and so forth are not included.

2. An item is unprocessed if it has not received the complete initial processing (including physical preparation, bibliographic access, inventory control, and/or other treatment) required to make it routinely available for use and has not been placed in the location from which it will be served. Unprocessed is a relative term, always measured against the degree of treatment that procedures in force at the time of processing deem appropriate to the specific object in question.

Processing is understood to include much more than cataloging alone; *all physical preparation, including preservation work if needed, is included.* Another key element of this definition is that the processing state of an item is established relative to the intended result when processing began, not measured against an ideal degree of description and access. The definition was constructed to prevent skewing arrearage counts by retroactive application of today's bibliographic standards to materials long-since processed and in service.

3. Arrearages are library materials that have been in an in-process state for longer than a reasonable amount of time, or which are not expected to be processed within the foreseeable future. (The in-process state begins upon the Library's receipt of the item and ends when complete processing has been accomplished and the object has been placed in the location from which it will be served.) The "reasonable" time will vary according to the type of material, the extent of processing, or other factors.

This definition divides arrearage materials into two groups: (1) those which are in a processing stream with measurable throughput times and (2) other items, virtually all of which have little if any prospect of being processed. "Throughput time" is the number of calendar days elapsed between an item's entry into a processing stream and the completion of its processing. The team asked cognizant managers to establish "reasonable" throughput times; these were then used to identify in-process materials as arrearages.

B. Data collection methods. In conducting the census of arrearages and determining resource needs, members of the team worked closely with managers and custodial staff throughout the Library. A professional statistician reviewed existing statistics, surveyed the arrearages, designed sampling plans where necessary, and reviewed and assessed the team's results. Divisions supplied information about the size and composition of their processing staffs, resources needed to process a typical item, possible alternative processing procedures, anticipated noteworthy acquisitions, and other matters. Team members met with division chiefs and their key subordinates for an in-depth discussion of arrearages, procedures, resources, and other matters.

It is important to remember that the arrearage statistics presented in this report are in most cases not based on exact counts. In some cases the custodial divisions had conducted careful piece-by-piece counts of the items on hand. Some arrearages were measured by computer-produced counts of machine-readable records on a database. For many arrearages, particularly of non-print items, structured sampling plans were devised and conducted. In other cases, careful estimates of item counts were used, following established and validated methods; the Manuscript Division's arrearages, for example, were measured in this way. Even with this variation in measurement techniques, the Library considers the statistics to be as accurate as can be obtained with reasonable effort.

For each arrearage, a calculation was made to determine both the expected amount of labor to process it completely (using current procedures and technology) and the cost of that labor. These were based solely on statements of resource needs provided to the team by operating officials. Some of these statements were based on detailed empirical information, but most were not. Although they are as accurate as currently possible, *the labor costs must be viewed as estimates.*

Much of the data collected was entered into an arrearages database maintained on a microcomputer. The Library now has a comprehensive census of its more than 750 separate arrearages. This automated census will have lasting value as a primary source of information for analyzing, managing, and reducing Library arrearages. The comprehensive list of arrearages presented in Appendix B was produced from the database and illustrates its value.

III. Description of the arrearages

A. Introduction

The results of the census are summarized numerically in this section of the report. The numbers, while in some cases breathtaking, convey nothing about the content -- the true substance -- of these vast accumulations. In their hands-on work in the custodial divisions and the Landover Center Annex, team members unearthed intriguing items and identified little-known arrearages which contain remarkable materials. Metal storage boxes at Landover contain Nazi-made recordings of radio broadcasts. The Asian Division's arrearages include captured Japanese government reports and university studies of agriculture and technology in pre-World War II Japan. In the NBC television arrearage are a number of kinescope negatives of the 1956-1957 Nat King Cole Show, which is generally considered to be the first network variety program hosted by a black performer. It was thought not to have survived until Motion Picture, Broadcasting, and Recorded Sound Division staff located the material in response to a recent inquiry from Mr. Cole's widow. The Performing Arts Library at the Kennedy Center has little-known, unprocessed collections of audio and video recordings including performances at the White House, Kennedy Center Honors programs, and unique interviews with the honorees. The potential scholarly and cultural value of the arrearages is inestimable.

The arrearages contain more than 38,000,000 items and are continuing to grow. As shown below, the total labor cost of reducing today's arrearages by 80 percent, using current processing procedures, is estimated to be $384,913,000. In addition, the labor cost to prevent further arrearage growth during Fiscal Years 1990-1999 is projected to be $231,289,000. Thus, the estimated total labor cost of stopping arrearage growth and reducing the current arrearages would be $616,202,000 through the end of Fiscal 1999.

B. Statistical information. The following table and charts present summary information about the Library's arrearages as of the end of Fiscal Year 1989. Appendix B provides a comprehensive listing of the arrearages.

Number of items in the Unprocessed Arrearages

		Percentage
Total items in arrearages	38,069,000	
"Print" materials, total	4,512,000	11.9
Books (includes 85,632 pamphlets)	846,000	2.2
Rare books	332,000	0.9
Serials (pieces)	2,543,000	6.7
Microforms	791,000	2.1
Special materials, total	33,557,000	88.1
Maps	64,000	0.2
Moving-image materials	630,000	1.6
Sound recordings	1,671,000	4.4
Manuscripts	12,255,000	32.2
Music	5,994,000	15.7
Pictorial materials	12,943,000	34.0

--- Custodial divisions assigned a processing priority of "high" to **23,888,000** items, or **62.7** percent of the total arrearage. To determine this priority, divisions were asked to consider a balance of factors such as research value, preservation needs, potential use, etc.

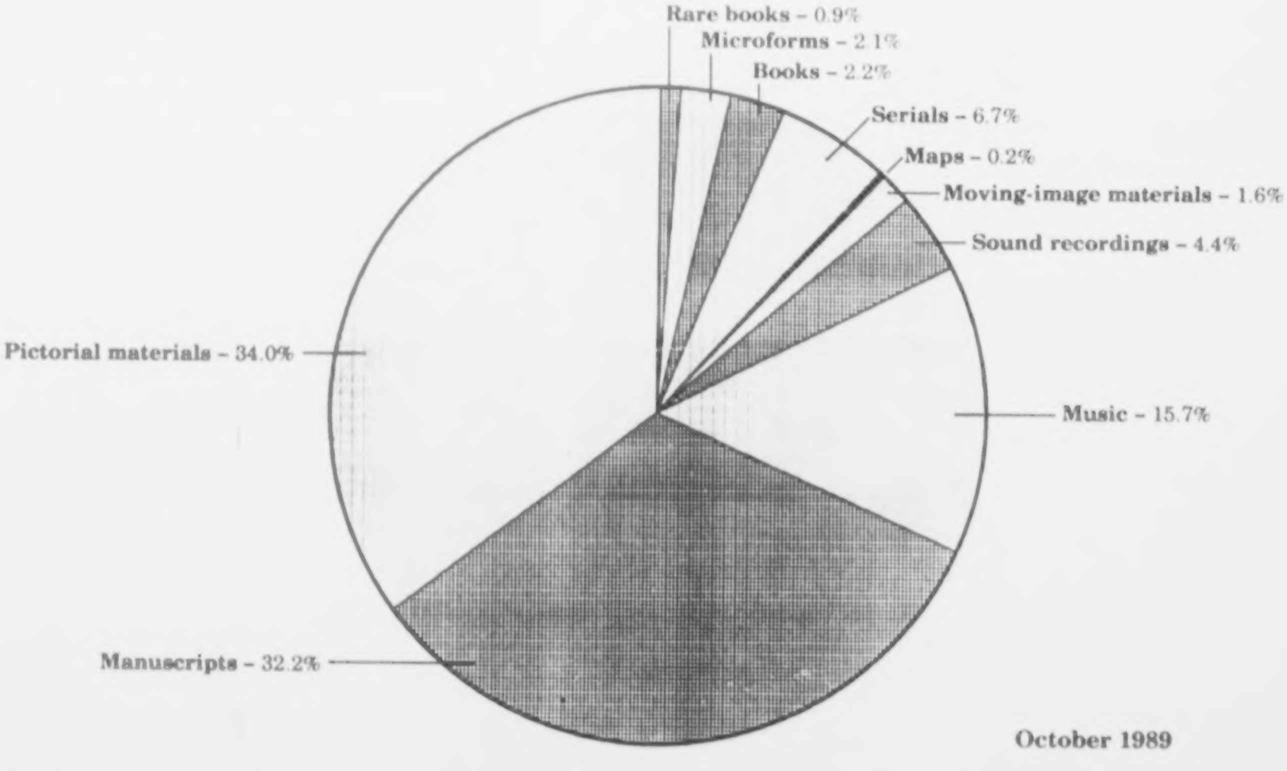
--- The divisions reported that **1,880,000** items in the arrearages need immediate preservation treatment. This figure is an estimate and does not include materials in the Music or Rare Book Divisions where information about preservation states has not yet been compiled.

--- The Landover Center Annex houses **22,066,000** items, or **58** percent of the Library's total arrearage.

--- Custodial divisions have reported that **11,733,000** items in the arrearages are currently housed in environments that are unacceptable from a preservation and/or security standpoint. Most of these are at the Landover Center Annex.

COMPOSITION OF THE UNPROCESSED ARREARAGES

Percentage of Total Items



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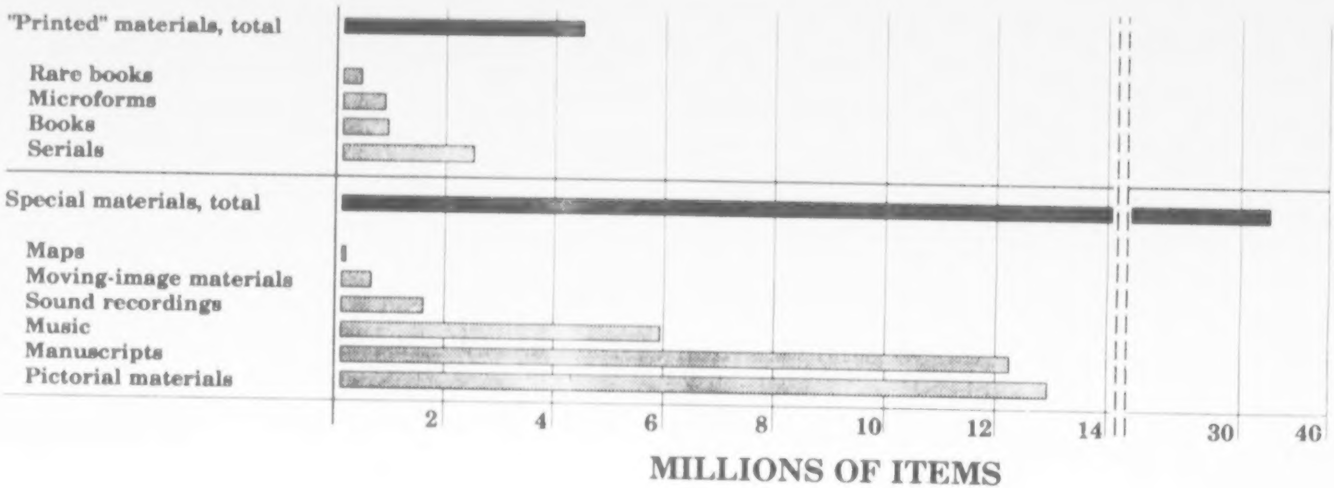
NUMBERS OF ITEMS IN THE UNPROCESSED ARREARAGES

By Format



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C. Labor costs of processing

Based on 1990 rates of compensation, the estimated labor costs to reduce the present arrearages by 80 percent *using current procedures* would be $384,913,000 apportioned as shown in the table below and in the graph on the next page.

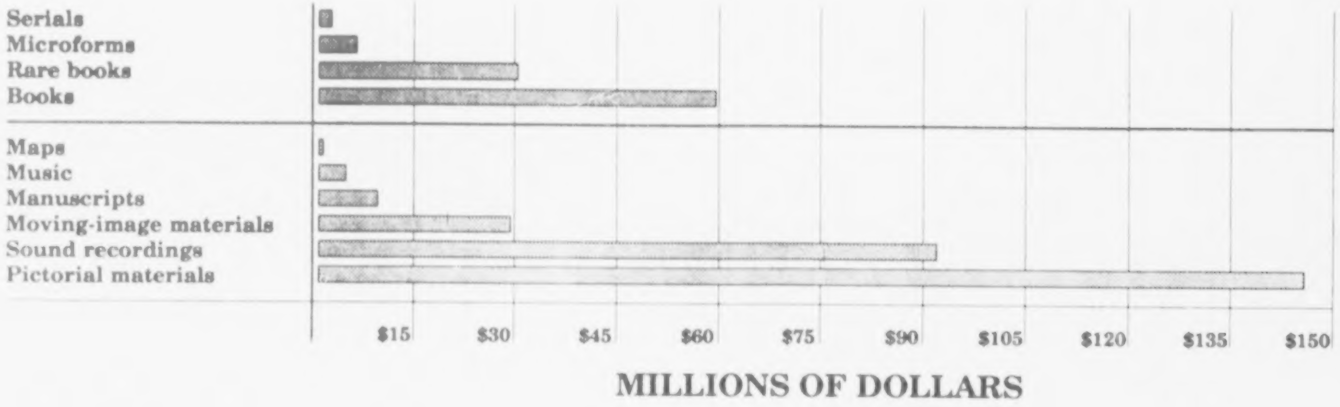
	Total on hand	Items to be processed	Estimated labor costs
Books	846,000	677,000	$59,898,000
Rare Books	332,000	266,000	30,938,000
Serials	2,543,000	2,034,000	3,191,000
Microforms	791,000	633,000	5,925,000
Maps	64,000	51,000	801,000
Moving-image materials	630,000	504,000	29,475,000
Sound recordings	1,671,000	1,337,000	92,766,000
Manuscripts	12,255,000	9,804,000	9,903,000
Music	5,994,000	4,795,000	4,842,000
Pictorial materials	12,943,000	10,354,000	147,174,000
	TOTAL	30,455,000	$384,913,000

With a few exceptions, only labor costs are presented in this report because in most cases other costs can be ascertained only as the processing is done. For example, the physical preparation and preservation needs of a given arrearage may not be determinable before processing actually occurs. In the special collections, processed materials normally require more space than unprocessed items and typically must be housed in special containers and cabinets. Working space, furniture, and equipment must be provided for additional staff members devoted to processing.

Success in arrearage reduction can be expected to create a need for additional resources for public service. Making large amounts of materials known and available for the first time will lead inevitably to increased demands on reference staff; this will be especially true for unique materials in the special collections.

ESTIMATED PROCESSING LABOR COSTS TO MEET ARREARAGE REDUCTION GOALS FOR FISCAL YEARS 1990-1999

Using Current Procedures at 1990 Rates of Compensation



October 1989

D. Halting arrearage growth

The Library's overall arrearage is growing at a current average rate of at least 1,830,000 items annually, or 4.8 percent of the 38,000,000 items now in arrearage. With no change in current acquisitions or processing requirements, the estimated annual labor cost of preventing further growth would be $23,128,900.

IV. The Arrearage Reduction Plan

A. Factors affecting arrearages

The Library's arrearages are governed by three factors: acquisitions policies, resources devoted to processing, and processing requirements. To improve the present situation and prevent it from recurring, action will be taken in each of these areas.

Acquisitions policies, while currently supportive of the Library's mission, may not reflect it with sufficient precision and are not always well-served by internal procedures and practices. A careful review of these policies will be conducted, and particular emphasis will be given to implementing measures to increase selectivity while maintaining quality and comprehensiveness.

Resources devoted to processing will be increased by internal reassignment of staff and other resources, by procedural measures to improve efficiency, and by enhanced and more effective technological support. It is clear, however, that even these measures will not be adequate for the overall task to be accomplished. Significant additional resources, both appropriated and non-appropriated, must be obtained.

The Library will modify its *processing requirements* in a number of areas, taking actions which will reduce the resources needed to process an item while assuring satisfactory levels of physical preparation and preservation, bibliographic identification, and inventory control.

B. Overview of the plan

The Library has established a two-part goal for the decade of the nineties: To stop arrearage growth and to reduce existing arrearages by 80 percent. A 10-year plan is being developed to guide work toward this challenging goal. Efforts during Fiscal Years 1990-1992 will focus on a pilot program to refine policies and procedures, develop and test innovations, and obtain a variety of additional resources. General and specific goals for reducing or eliminating certain important arrearages by the conclusion of the pilot will be pursued.

The impact of the policy and procedure changes will be assessed carefully, and revised projections of the additional resources needed to achieve the 10-year goals will be developed. Increments of these resources will be reflected in the Library's budget requests from Fiscal Year 1992 forward. Depending on the funds that are made available to the Library, the second part of the plan will focus on achieving either the remainder of the 10-year goals or a less ambitious program.

C. The Three-Year Program

During Fiscal Years 1990-1992, the Library will move vigorously to improve the effectiveness and efficiency of its processing activities, obtain additional resources, and accomplish specific goals for arrearage processing.

C.1. **Effectiveness, efficiency, and resources:**

C.1.a. *By the end of Fiscal Year 1990 the Library will:*

(1) Assign highest priority in automation development to enhancements which will provide important support to processing or yield valuable increases in processing efficiency.

(2) Designate a coordinator of arrearage processing to monitor and publicize progress in conducting the Arrearage Reduction Plan.

(3) Begin a series of pilot projects to test methods of simplifying cataloging and processing procedures for all formats of materials.

(4) Begin a careful program to publicize the Library's arrearage situation in order to ensure understanding and attract resources (financial, use of the bibliographic utilities, etc.) to help with arrearage processing.

(5) Establish a program for implementation of the Arrearage Reduction Plan. Encourage full participation and stimulate commitment of staff members and the labor organizations.

(6) Begin a comprehensive review of the Library's Acquisitions Policy Statements to determine whether they accurately

reflect the Library's mission, if they are written with sufficient precision, and if they contain elements that in the context of research value, resource demands, and processing arrearages suggest that policy changes should be considered.

(7) Reemphasize the requirement that an acquisitions impact statement accompany any recommendation to acquire large collections, rarities, or non-book materials which require special custody, processing, and/or preservation.

(8) Cease adding copy-specific data to several categories of material previously treated as rare books, thereby gaining significant efficiencies in processing. (Examples include pre-1801 materials being transferred to the Rare Book and Special Collections Division from the general stacks; non-rare pre-1801 Law Library materials; pamphlets; and the twentieth-century first edition authors collection.)

(9) Reduce as much as possible the amount of optional information included in cataloging for moving-image materials.

(10) Revise the Library's personnel policy which requires that job applicants meet minimum educational qualifications before the closing date of a posting rather than before being appointed to a position.

(11) Identify and assess the impact of current statutory and other restrictions on the appointment of non-citizens to positions on the Library staff. Identify desirable changes and vigorously seek to have them implemented.

(12) To supplement staff resources, contract for the cataloging of published sound recordings.

(13) Complete the development of procedures for "copy cataloging" (the careful use, with limited modifications, of cataloging done by other libraries), mainly by using bibliographic utilities but also employing printed materials and other products as available. As soon thereafter as possible, begin the routine use of copy cataloging to the maximum extent possible in all processing workflows.

(14) Implement a policy for books and serials that have been in process for more than three years to be cataloged by using

copy cataloging techniques, if possible, or minimal-level cataloging, if not.

(15) Establish a permanent copy cataloging group by reassigning members of the Catalog Management and Publication Division to do copy cataloging of books and, when appropriate, other formats on a full-time basis.

(16) Develop and implement procedures for cataloging certain non-print series (e.g., television series) as serial publications rather than monographs.

(17) Assign all routine CIP verification work to technicians rather than descriptive catalogers. These technicians would refer to catalogers only those items requiring authority work or meeting other predetermined criteria.

C.1.b. *By the end of Fiscal Year 1991 the Library will:*

(1) Establish and maintain an effective system of identifying and making more efficient use of the language capabilities of Library staff in short-term work, details, post-RIF reassignments, and for other purposes.

(2) Investigate and if feasible begin a program of collaborative projects to encourage commercial publishers and other firms to process collections in return for specified exclusive rights to reproduce them for marketing to the general public.

(3) Complete all preparations (software, hardware, administrative and operational procedures) for the Library's participation in intersite tests of the bibliographic application of the Linked Systems Project.

(4) Provide the capability to load into MUMS the Chinese, Japanese, and Korean records that Library staff have created on RLIN, and provide retrieval for the non-vernacular script portions of these records. Enable this capability to be extended to Hebraic and Arabic records.

(5) Complete the transition to online name and series authority work throughout the Cataloging Directorate of Collections Services.

(6) Develop and test a variety of innovative approaches to obtaining and using "alternative resources" such as visiting scholars, graduate students, and Library retirees to assist in some processing workflows (e.g., sorting, accessioning, preparing brief citations). The Geography and Map Division has been using such an approach successfully for many years.

C.1.c. *By the end of Fiscal Year 1992 the Library will:*

(1) Assign cataloging authority and responsibility to the Library's overseas offices for all materials they acquire. Add the machine-readable cataloging records created in these offices directly into the Library's in-process database.

(2) Substantially expand the use of the Library's overseas offices to accomplish arrearage reduction by performing cataloging and whatever other processing work can be done there, whenever appropriate because of cost considerations or the lack of language capabilities within the Library.

C.2. **Arrearage reduction goals:**

As part of its pilot program during Fiscal Years 1990-1992, the Library will work to accomplish a number of goals for the reduction or elimination of arrearages. The management plan for the pilot will be completed by February 15, 1990, and will include general goals for reducing the arrearage in each format by a certain percentage. At least one experiment intended to yield major and measurable accomplishments will be conducted within each format.

Within the general goals will be a number of specific goals which have already been established. Listed on the following pages, these emphasize the processing of published materials such as books, sound recordings, and looseleaf legal publications; they also respond to pressing needs for preservation of deteriorating items. The concentration on increased cataloging of published materials will yield important benefits to libraries and other users of the Library's cataloging products. Also, catalog records for published materials in arrearages may be available to the Library on bibliographic utilities or through cooperative cataloging projects; where other libraries' cataloging can be used, arrearage reduction will go more quickly and at a lower cost.

Specific goals for Fiscal Years 1990-1992

a. **Arrearage:** In-process books
Description: Books in all languages
Quantity: 232,214
Goal: Reduce to 175,000 or below

Resource needs: Current staff
Remarks: Excludes current Japanese items

b. **Arrearage:** Japanese monographs
Description: Current publications
Quantity: 3,679
Goal(s): Process all items

Resource needs: Current staff

c. **Arrearage:** Uncataloged serials
Description: Current and retrospective materials
Quantity: 125,000
Goal(s): Reduce to 65,000 or below

Resource needs: Current staff

d. **Arrearage:** Unbound periodical issues
Description: Issues waiting to be assembled and sent for binding
Quantity: 675,000 items (est. 56,250 volumes)
Goal: Process all items

Resource needs: Contract funds:

Preparation @ $13.00/volume	$666,534
Binding @ $4.85/volume	248,669
	$915,203

e.	**Arrearage:**	U.S. News and World Report Collection	
	Description:	Contemporary photographs of broad current interest	
	Quantity:	1,063,358	
	Goal(s):	Process all items	
	Resource needs:	Temporary staff	$101,000
		Supplies	6,000
		Total	$107,000

f.	**Arrearage:**	Unfiled Law Library looseleaf services
	Description:	Unfiled update sheets and replacement pages
	Quantity:	560,100
	Goal(s):	Reduce by 200,000 in Fiscal 1990 Reduce by 360,100 in Fiscal 1991
	Resource needs:	$59,400
	Remarks:	Contract for this work

g.	**Arrearage:**	Rosenwald Collection (1989 acquisition)
	Description:	Valuable 20th century illustrated books
	Quantity:	200
	Goal(s):	Complete before Rosenwald Room opens in late 1990
	Resource needs:	Current staff

h.	**Arrearage:**	James Madison Pamphlets
	Description:	Pamphlets and broadsides from Madison's personal papers, including a copy of a preliminary version of the Bill of Rights
	Quantity:	240
	Goal(s):	Complete by December 31, 1990
	Resource needs:	Current staff

i. **Arrearage:** NAACP Archives
Description: Additions to materials previously received. Includes records, correspondence, photographs, and moving-image items.
Quantity: 694,479
Goal(s): Process all items

Resource needs:

Temporary staff	$109,118
Supplies and Equipment	22,500
	$131,618

Remarks: Funding included in FY91 budget request

j. **Arrearage:** Yudin Collection
Description: Remnant of 1907 acquisition from Imperial Russia
Quantity: 4,000 rare items; 2,600 others
Goal(s): Process all items

Resource needs: $735,400 for rare book processing
Other items to be done by current staff
Remarks: Will seek grant or other non-appropriated funds to process rare items

k. **Arrearage:** Compact discs (audio)
Description: Commercially-published sound recordings
Quantity: 9,727
Goal(s): Process all items

Resource needs: Current staff

l. **Arrearage:** Music scores (full-level cataloging)
Description: Current publications
Quantity: 2,155
Goal(s): Process all items

Resource needs: Current staff

m.	Arrearage:	Pre-1801 imprints
	Description:	Volumes transferred to secure rare book stacks from the general collection
	Quantity:	36,292
	Goal(s):	Process all items
	Resource needs:	Current staff

n.	Arrearage:	Nitrate-base motion picture film
	Description:	Deteriorating film for preservation copying onto safety film
	Quantity:	113,000
	Goal(s):	Complete bibliographic control and selection for preservation copying by the end of Fiscal 1992.
	Resource needs:	$530,558

o.	Arrearage:	Nitrate and diacetate photographic negatives
	Description:	Items within several collections encompassing some very important documentation of U.S. subjects
	Quantity:	210,000
	Goal(s):	Reduce to 100,000 or below by the end of Fiscal 1992

Resource needs:	Fiscal 1990 ---	Indefinite staff	$125,658
		Non-personals	400,000
	Fiscal 1991 ---	Indefinite staff	181,507
		Non-personals	680,374
	Fiscal 1992 ---	Indefinite staff	181,507
		Non-personals	786,737
		Total	$2,355,783

Remarks: Funding requested in Fiscal 1990 budget uses average of Fiscal 1991-93 annual equipment and supplies cost: $726,652.

p.

Arrearage:	NBC Television Archive
Description:	Major collection of early television material
Quantity:	45,000
Goal(s):	Complete accessioning and cataloging by the end of Fiscal 1992
Resource needs:	$1,218,000
Remarks:	Complete transfer of approximately 22,500 items to a stable preservation medium by end of Fiscal 1999

D. Fiscal Years 1993-1999

Continuing the progress attained during Fiscal Years 1990-1992, and provided that adequate resources are available, the Library will work to prevent arrearage growth and to accomplish the goal of reducing current arrearages by 80 percent by the end of Fiscal Year 1999.

V. Processing, space, and preservation

Processing, space, and preservation are inextricably connected. Therefore, efforts to reduce the Library's present unprocessed arrearages or to prevent further growth will affect, and be affected by, the resources available for space and preservation. The level of support needed for each of these three essential aspects of Library operations already exceeds the resources that are available. As the unprocessed arrearages continue to grow, there is not enough space to house them properly and preservation needs (binding, microfilming, deacidification, etc.) are in many cases unmet. The progress that must be made in dealing with the Library's arrearages will require substantial additional space and preservation resources.

Space needs are particularly acute. The increased processing rates that the arrearage reduction plan requires for books and serials for the general collections will cause the remaining limited space on Capitol Hill to fill much more rapidly than previously projected. This will make the establishment of the Secondary Storage Facility (SSF) ***during Fiscal 1991*** critically important. In its early years (Fiscal 1991-96), the SSF could be used for temporary storage of special collections arrearages should there be no more space available at the Landover Center Annex. Part of the SSF could be configured at relatively modest cost to be suitable for special materials processing activities conducted by Library staff or contractors through the mid-1990's; unless this or another option is available, there will not be sufficient space available to expand processing efforts.

VI. Current conditions, procedures, and activities

A. Introduction

This section presents general and specific information about current conditions, procedures, and activities that relate to the Library's arrearages. It is intended to provide a comprehensive understanding of the present situation, to indicate the many interrelationships that exist, to highlight a number of promising approaches, and to show the origin of actions appearing in the Arrearage Reduction Plan.

It is important to remember that the term "processing" includes the full range of activities (physical preparation, bibliographic access, inventory control, preservation, etc.) required to make materials available for routine use.

B. Coordination and publicity

Arrearage reduction must remain a very high priority between now and the Library's bicentennial in 2000. In pursuing this challenge, the Library will need to ensure that an effective program of coordination, information, and public relations is established quickly and pursued energetically throughout the next decade.

A sustained, coordinated effort will be needed during the decade of the nineties to establish and refine goals, identify and allocate resources, develop truly innovative procedures, and monitor performance in arrearage reduction. To this end, and to demonstrate the importance of arrearage reduction in the Library's overall priorities, a coordinator of arrearage processing will monitor and publicize progress in arrearage processing and serve as a locus of information about the arrearages and progress in meeting arrearage reduction goals.

A successful plan must also generate support from the staff as well as from management. Staff will be made aware of the Library's priorities in arrearage reduction. They will also be given the opportunity to participate in innovative projects utilizing their imagination, energy, specialized language skills, and technical expertise. Reallocation of resources made available through administrative reorganization or program reductions, such as those currently related to the National Union Catalog, will be considered to maximize the use of the staff throughout the Library to support the arrearage program.

An effective public relations program will be necessary to explain the extent and implications of the arrearage situation to the Library's various clienteles, and to give them assurance that everything possible is being done to maintain proper levels of service. Informing the public, and libraries in particular, about our situation and limited resources will be necessary to ensure their understanding that the Library will be unable to make adequate progress without substantial changes in procedures.

The Library will take a national leadership role in the arrearages area, including the American Library Association (ALA), the Association of Research Libraries, the bibliographic utilities, and others in working to solve problems. For example, the Library might convene a conference on the subject of arrearages to explore a national cooperative effort aimed at the reduction of arrearages generally. ALA and/or its appropriate units may also be interested in making arrearages a recurring theme for the nineties, focusing attention through conference programs, seminars, and articles in its publications. The impact of arrearages is felt in all areas of library operations and service to end users. The Library may be more successful in its short-term and long-term arrearage goals if they are pursued within the context of an effort by the broad library community to develop solutions to arrearage problems generally.

C. Major considerations

C.1. Automated systems.

Although the Library is dependent on automated systems for many of its processing activities, enhancing automation support will not provide a panacea for the arrearage problems. Much of the processing work that must be done to reduce arrearages is manual and cannot be helped by automation. Nevertheless, the Library's automated systems will play a key role in arrearage reduction efforts. Prudent enhancements to current software and hardware can yield processing efficiencies which will lead to increased cataloging output. The Library will seek to implement such changes as quickly as possible and in a manner that will yield the greatest practical benefits. These enhancements will offer particular benefit to the processing workflows which produce MARC records for the Library's online catalogs and distribution to libraries and other users across the nation.

C.2. Large-scale automation in cataloging

Although the effectiveness of automated systems is relevant to the Arrearage Reduction Plan as a whole, it is crucial with respect to cataloging. The current period of increased acquisitions and decreased resources coincides with the maturation of library automation. Growth in computer applications within the Library of Congress brings with it both opportunities and problems.

The opportunities are well known. Cataloging is created more quickly and shared more widely in machine-readable form; it has a broadened spectrum of uses, from internal housekeeping functions to greatly expanded interlibrary loan facilities, to shared collection development; and it permits scholars to conduct complex searches more quickly, thoroughly, and extensively than ever before.

Problems result largely from success in seizing these opportunities. Library cataloging databases are among the largest, most complicated, and difficult to maintain in the world. Their structure and contents set them apart from massive governmental, commercial, and scholarly computer files. The special needs of library databases require special programs. Librarians have not yet been successful in convincing publishers of major large-scale automated database management programs to produce and maintain the kinds of database software that machine-readable catalogs require.

The Library of Congress faces special problems in that its system is one of the earliest of its type. Compared with other library database systems, it is inefficient and outmoded. The Library has recognized this fact and has begun planning and implementing changes within the SISP effort. Planning and implementation must be accelerated or numerous automation enhancements that are available to catalogers elsewhere will not be available to the Library's catalogers for several years.

Work to accomplish the enhancements needed for significant gains in the efficiency of processing must be accelerated. These enhancements include the completion and implementation of the Linked Systems Project bibliographic application, as well as the development of a generalized ability to load cataloging from bibliographic utilities and other databases outside the Library, and the ability to transfer or copy cataloging from one Library of Congress file to another. Also important to processing are ACQUIRE (an integrated acquisitions system) and the Serials Management System (SMS).

C.3. Processing priorities

In response to the explosive growth of publishing in recent decades, collections in all formats have expanded rapidly. For various reasons, there has been an imbalance in the availability of the resources needed to process these receipts. The cataloging and other processing of published materials, principally books and serials, has been emphasized because of the potential use of the Library's catalog records by a large number of other libraries. While substantial resources have been devoted to processing books and serials, arrearages of other materials have grown steadily because resources were not available to process them.

Various factors interact to affect the order in which the Library's materials are processed. These include projected volume of use, requests for access received from Library users, preservation needs, agreements with donors, preparation of information for use by other libraries, and availability of such staff capabilities as language skills, subject matter training, and technical expertise.

C.4. Levels of cataloging

It is essential that some form of bibliographic control be established for all arrearages at the earliest possible time. Cataloging that provides the fullest level of description may be the ideal, but if such cataloging is performed on only some materials while others are given no treatment at all and remain inaccessible, this detailed cataloging is in effect preventing an adequate overall level of service to the Library's users. Plans designed to make all materials in the arrearage available as quickly as possible may entail certain compromises that reduce the level of cataloging for some items but that assure at least some level of description and access is provided for all items. Collection-level description can be used for materials initially grouped by such characteristics as provenance or subject matter. Finding aids can at times be substituted for detailed cataloging of each item in these collections. Minimal-level cataloging can be used for specific items for which full-level cataloging is unnecessary or can be deferred.

C.5. Use of cataloging assistance

The Library can make practical use of much available cataloging data and other resources that can assist in reducing the arrearages. Some of this assistance may be available outside the Library in such resources as bibliographic networks, cooperative cataloging ventures, and contractual services. Increased use of internal resources could involve expanded application of copyright information and more extensive use of the language and cataloging capabilities of staff in the Library's field offices.

A great opportunity for increased arrearage processing lies in reduction or elimination of duplication of effort within the Library and in the library community. Currently, when a cataloger in the Library of Congress produces a description of a published book, sound recording, or other item, it is quite possible that another library has already cataloged the same item and produced a record which is available on a bibliographic utility. In using these utilities, other libraries have reduced cataloging redundancy to a practical minimum. The Library of Congress has the opportunity not only to use cataloging prepared by other libraries, but also that prepared by its own staff, most notably in the Copyright Office and the overseas field offices. Field office cataloging is already being used to a limited extent, and efforts are in motion to increase the benefits derived from these products.

Use of data derived from outside the Library's cataloging units may require the acceptance of information not yet fully verified or not presented in formats meeting the Library's rigorous cataloging standards. Such compromises, however, may be a necessary means of assuring rapid reduction of the arrearages. Information published in catalogs and bibliographies and data amassed by researchers using special collections can serve as preliminary information assisting cataloging and reference staff. Contracts with vendors can assist the Library in cataloging certain types of materials in a timely fashion.

C.6. Future of the Catalog Management and Publication Division

Currently undergoing an organizational reevaluation, the Catalog Management and Publication Division is in a flexible position concerning its mission and structure. By forming persons from this division into one or more units whose staff can work where most needed, staff can be temporarily and flexibly assigned. The Catalog Management and Publication Division's staff can provide a pool of expertise and skills to be shared across organizational lines.

C.7. Cataloging practices

The Library has justifiably considered its cataloging practices to represent the highest standards of bibliographic control. Continued application of these practices, however, will not provide a practical solution to the problem of gaining intellectual control over unprocessed material. Current efforts to simplify cataloging procedures will be intensified. Success in this area not only will increase the Library's cataloging cataloging output but also will enhance the efficiency of cooperative cataloging programs and activities. The Library will, of course, continue to adhere to national and international cataloging standards.

C.8. Utilization of processing staff

In the past, staff nominally assigned to processing duties have often been diverted to other responsibilities. Substituting for insufficient reference and clerical staff has in some areas routinely taken staff away from processing. In other areas, preparing exhibits, planning and staging performances, screenings, and concerts have employed processing staff in activities that reduce the time available for their primary work assignments. Efforts to reduce the arrearage will require that processing staff devote more time to processing.

C.9. Cataloging of published (i.e., non-unique) materials

Within the Library of Congress collections, some published materials are treated as if they were unique. These include rare books processed in the Rare Book and Special Collections Division as well as motion pictures and television broadcasts cataloged in the Motion Picture, Broadcasting, and Recorded Sound Division. Catalogers describe the unique characteristics of each item as well as the characteristics that are common to all copies. For example, catalogers in the Rare Book and Special Collections Division will note variant states of an edition, autographed copies, former owners, etc.; moving-image catalogers will describe differences in various film masters and distribution copies; and pictorial materials catalogers will describe variant states of a given fine print.

The fiscal resources available to the Library have come much closer to meeting the needs of book, serial, music score, and map cataloging than the needs of processing unique materials and materials treated as unique. To make progress in reducing these large arrearages, the Library needs greater resources for unique-item processing. Because of the value other libraries derive from the Library's cataloging of published materials, however, increases in resources for processing unique items should not come at the expense of the cataloging of published items.

C.10. Book cataloging

Worldwide, the Library of Congress produces far more book cataloging records than any other single library. Its comprehensive, authoritative records set a standard for quality and usefulness that is consistently achieved by no other library. The Library's ability and commitment to produce large quantities of catalog records has had enormous practical benefit to other libraries.

Although there are many significant exceptions, the usefulness of books generally tends to decline over time. For example, scholarly research monographs in the sciences and social sciences are likely to decrease in usefulness as research in a given specialty advances and earlier work becomes superseded. Thus, the average book is likely to have its widest audience when new.

The Library's own patrons and the many thousands of other libraries that use Library of Congress cataloging exert a great demand for prompt cataloging of current works. Furthermore, because other libraries acquire new books at the same time that the Library of Congress does and because they prefer its cataloging to any other, they tend to hold books while waiting for the Library's cataloging to appear on bibliographic utilities or in other MARC distribution channels. They must repeatedly search (at no small expense in staff time and search fees) until our cataloging arrives. Consequently, the longer the Library's cataloging is delayed, the greater the expense and inconvenience borne by other libraries. For these reasons, any program to catalog book arrearages must assure that resources are adequate to handle current receipts. *These arrearages must not be cataloged at the expense of current cataloging.*

D. Current efforts to improve the efficiency of book cataloging

D.1. Cataloging simplification

The cataloging simplification program seeks to reduce the complexities of book cataloging with minimum reduction in the usefulness of the resulting cataloging records. Effective simplification is difficult to achieve. Simplification of cataloging rules and policies may decrease the time a cataloger spends consulting manuals but increase the time spent considering alternatives where situations arise that are not covered by rules or that are covered by rules calling for exercise of individual judgement. Simplification of data given in cataloging records may increase the effort required of reference librarians and library patrons in attempting to find works germane to a search and to exclude those that are not. Because the Library's bibliographic records serve diverse needs both locally and in remote cataloging systems and libraries, simplification is particularly difficult to achieve. Frequently, the impact of a proposed change cannot be anticipated. Simplification is generally a slow and difficult process in which changes are proposed and their impacts are carefully evaluated.

D.2. Multiple-versions cataloging

The multiple-versions cataloging issue is an element of the cataloging simplification program whose intractability and significance make it a program unto itself. Multiple versions cataloging concerns processing the same item in different formats (printed copy and microform, for example). The quickest and least costly means for cataloging an item appearing in different versions is to create a cataloging record for the item and simply add to it data describing other versions as they are produced or acquired. Although many libraries that have local online catalogs use this simple procedure, it cannot be used in libraries, such as the Library of Congress, that distribute their records for other libraries to use in copy cataloging programs (that is, programs for adopting other libraries' records for local use). Current automated cataloging systems force record-distributing libraries to make separate records for each version. In concert with other libraries and library systems, the Library of Congress is attempting to overcome this inefficiency by developing new policies that would lead to standards and systems development for elimination of redundancy in multiple-versions cataloging.

D.3. Online cataloging expansion

The evolutionary process of cataloging automation is culminating in direct online entry of all parts of cataloging records by catalogers themselves. As this expansion proceeds, increasing numbers of catalogers key data directly into online computer files rather than supplying typed and revised copy to keyboarding specialists.

This does not reduce the overall effort required to produce records but it simplifies workflows and permits greater flexibility in assigning work.

D.4. Opportunities for shared cataloging

Technological advances and the maturation of automated cataloging operations in other libraries and in library-related organizations -- such as publishers and scholarly institutions -- give opportunities for catalogers in off-site locations to participate in Library of Congress cataloging operations. In concert with other libraries, library-related organizations, and the operators of library computer networks, the Library is developing electronic linkages to permit efficient inter-system cataloging operations. The Library has also begun programs for training outside catalogers in the creation and maintenance of bibliographic records that meet exacting standards for national-level cataloging. As these programs expand, the Library and other organizations benefit jointly from reduced duplication of effort.

D.5. The Name Authority Cooperative (NACO)

Begun offline with Library of Congress staff doing all data entry, this program is now online as the first application using capabilities of the Linked Systems Project. Libraries use name authority cataloging records to insure uniform treatment of the personal names, corporate bodies, meetings, and titles. Since the program began in October 1977, the authority file has evolved from a unique Library of Congress file to a national resource that is collectively maintained by a varied group of libraries. Through its training and quality control procedures, the Library has final responsibility for adherence to standards in this shared cataloging environment.

D.6. The National Coordinated Cataloging Program (NCCP)

A pilot underway at eight U.S. academic research libraries, the project tests the feasibility of extending the shared cataloging concept from authority records to the cataloging records themselves. A pilot is required because these bibliographic records are much more complex than authority records and maintenance of national-level standards correspondingly more difficult. During the year that the pilot has been in operation, participants have contributed records to the Library's cataloging database and, via the MARC Distribution Service, to other libraries and library systems. As with NACO, the Library has trained catalogers and accepted responsibility for maintenance of standards.

D.7. The Linked Systems Project (LSP)

This is a computer-to-computer connection between the Library of Congress and the two largest U.S. shared cataloging networks for electronic exchange of cataloging records. Currently implemented only for name authority files in the NACO project, it is being expanded for use in the National Coordinated Cataloging Project as well.

D.8. The Whole Book Cataloging Experiment

This multi-faceted experiment has several goals related to arrearage control, including the establishment of an organizational unit that can respond flexibly to changes in workload; gaining preliminary bibliographic control as quickly as possible after receipt; and providing better control of items in process. Among the approaches being tried are training staff in multiple job functions, substituting team production goals for individual productivity goals, and encouraging simplification of procedures. Begun earlier this year, the experiment's first major milestone is June 1990 at which time it will be evaluated to assess its impact on production, productivity, throughput time, quality, and staff morale.

E. Processing published materials in non-book formats

E.1. Introduction

The cataloging of materials in other publication formats has much in common with the cataloging of books. As noted previously, some published non-book materials are cataloged as if unique (moving-image materials); others are cataloged for the Library of Congress and for the library community (music scores, sound recordings, maps and atlases, and microforms).

Library of Congress cataloging for publications in non-book formats has the same high quality as its book cataloging. Other libraries therefore prefer Library cataloging to that from other sources and will search bibliographic utilities and other databases repeatedly until they find it. Thus, where the Library distributes cataloging records for others to use, there is a strong demand for prompt cataloging of new receipts.

As with book cataloging, there are numerous current programs which focus on reducing the growing arrearages of non-book materials. These include selective use of minimal-level cataloging, cataloging simplification, streamlined procedures, and cooperative programs. Materials in other publication formats also share with books opportunities for cooperative cataloging (e.g., NACO and NCCP) and the use of other libraries' cataloging (i.e., copy cataloging) as a preferred alternative to minimal-level cataloging.

E.2. Music scores

Current programs to control growth of music score arrearages include expansion of minimal-level cataloging, revision of the priority system to insure that most-needed items are cataloged first, and revision of workflows and procedures to speed cataloging. In addition, since certain low-priority scores are controlled by shelf location and accessed by copyright cataloging, current programs also include refinement of selection procedures to ensure that only those items needing cataloging by Collections Services Unit catalogers actually receive it. Consideration of dropping certain coded data, not currently retrievable online in the Library, is a move toward cataloging simplification.

The cataloging of music scores would be helped by an expansion of the scope of cooperative book cataloging projects to include scores as well. The Library would benefit from the cataloging work done in other libraries if the NACO project were expanded to include name authority headings for scores. If the NCCP project for books proves successful and is expanded, cataloging of scores should be included at a future date.

E.3. Sound recordings

Published and unpublished sound recordings are a major arrearage problem; acquisitions have made the Library one of the largest sound archives in the world, but have far outstripped the resources available for cataloging them. The Library catalogs published sound recordings, but in relatively small numbers, and most of the published recordings added to the collections are not cataloged. Very few sound recordings receive preliminary control; most will have no bibliographic control unless selected for full or minimal-level cataloging.

Where appropriate, sound recordings are shelved according to the publisher's label name and unique identifying number. For many U.S. and western European labels, published discographies (e.g., Schwann catalogs) provide the only access to the Library's holdings -- access equivalent to using *Books in Print* to search and locate items in the general collections.

Current programs to control the growth of arrearages include expansion of minimal-level cataloging, revision of the priority system and selection techniques, and revising workflows and procedures to speed cataloging. Copyright cataloging is currently being used to verify that a given recording exists and was received in the Copyright Office for registration. There is no way to know if a given item was selected for the collections or, if it was, where it is shelved.

Because the Library is now able to catalog only a small proportion of receipts, and because cataloging current receipts has higher priority than cataloging arrearages, there are currently no staff available for cataloging arrearages of published sound recordings. A program to reduce the audio arrearages must involve additional cataloging staff and the use of innovative techniques to improve processing productivity.

Resources are needed to enable the Cataloging Division of the Copyright Office to resume the practice of giving detailed description (especially contents notes for music recordings) of sound recordings. For copyright cataloging to be most useful, the Library must redesign automated systems to permit COPICS records to be moved to another online database for modification so that they relate to actual holdings and not simply copyright registrations. Once enhanced, these records would serve as the basis for permanent control over published sound recordings in the arrearage. Accession-level cataloging is needed for sound recordings that are not covered by copyright cataloging and cannot be cataloged promptly by other means.

To eliminate unnecessary duplication of effort and ensure maximum practical productivity of staff responsible for cataloging receipts, the Library will work to effect automation enhancements and expand upon current cooperative programs. Automation enhancements include implementing the bibliographic application of the Linked Systems Project, permitting other libraries to use the Library's systems in cataloging audio materials and permitting Library of Congress audio catalogers to use other systems in this cataloging.

E.4. Maps and atlases

Current programs to control the growth of the maps and atlas arrearages include streamlining of cataloging procedures and the use of contributed cataloging (used also for the Maps National Union Catalog product). Further opportunities for cooperative cataloging (in the NCCP model) can be capitalized upon via the bibliographic application of the Linked Systems Project.

E.5. Microforms

Bibliographic control of microforms has traditionally been accorded a very low priority in the Library. In the past decade, as other libraries have recognized the inherent value of microforms and begun to treat them the same as materials in other formats, the Library has continued to provide only limited cataloging for all but a tiny proportion of its microform holdings. Few staff resources have been allocated, and virtually all cataloging has been at minimal level.

The Library has special incentives to catalog its microform holdings promptly and fully. Microform acquisitions frequently act as low-cost preservation surrogates for deteriorating books, serials, and other materials in the collections. Every time a fully controlled, preservation-quality microform is substituted for an endangered item that has no artifactual value, the Library saves the full cost of preservation treatments the item would need and saves much of the storage cost.

E.6. Serials

Serials are a special type of non-book material, encompassing not only the traditional periodical publications but also serially-issued materials in formats such as music, sound recordings, and computer files. They are set apart from other materials by the frequency with which their catalog records require maintenance. That is, serial records are more dynamic than records for monographic or other materials. In addition, serials are set apart because the Library gives their seriality precedence over other characteristics.

Serials are also set apart from other materials by the cooperative nature of their cataloging. Bibliographic control of serials has been a cooperative venture for a number of years. The CONSER Program, in which libraries cooperatively input records for serials into the OCLC database, was begun in 1976. The program has a large, diverse, and growing membership. It is a vigorous, self-driven consortium with a clear view of its current and future needs. As a CONSER participant, the Library of Congress is in a unique position --- it is a founding member and has always provided strong leadership.

Although standards and practices were adopted by common consent of all members, the Library has had responsibility for training, preparation of documentation, and quality control. Until fairly recently, the Library was the only member that could authenticate CONSER records (that is, label them as meeting the commonly accepted standards). The Library of Congress is also unique in its use of CONSER catalog records. The serials file in the Library is not a subset of the whole CONSER database, containing only those records for which the library has holdings. It is instead a full copy of the entire database, containing catalog records of Library holdings and records for serials held by other libraries but not the Library of Congress. Moreover, the Library is the distributor of the CONSER database for use by libraries that do not do their cataloging on OCLC.

The Library's participation in CONSER and use of CONSER records for its own cataloging would be greatly improved were Library staff able to select CONSER records for use in the Library's own cataloging systems, edit and update these records to provide local information not pertinent to a shared database, and integrate these records with other catalog records in the Library's automated cataloging files. Within the context of the ongoing Strategic Information Systems Planning effort, the Library will consider the programs and automation enhancements that would be needed to make the Library's serials database an independent subset of the CONSER database, as is the case in other CONSER libraries. The Library will also review its current serials cataloging procedures to identify means of increasing operational efficiency. Promising possibilities include the consolidation of processing work into a single unit (similar to the "whole-book" concept) and greater use of cataloging done by staff in the Library's overseas offices.

F. Cataloging unique materials

F.1. General discussion

The Library's vast holdings of unique materials place it in the forefront of the world's research institutions. No other repository possesses the breadth and depth of these resources, nor does any other institution add to its collections as rapidly. Despite their inestimable value, many of these collections are unprocessed or incompletely processed and thus unavailable for use or accessible only with difficulty.

Unique items are processed either individually or collectively. Where treated individually, they are processed in a manner similar to that used for books and other published materials. Indeed, the Library processes many published items as if they were unique. This is because of their rarity, financial value, historical association, or other factors. Rare books, moving-image items, and fine prints are examples. The vast majority of unpublished unique items are processed collectively because of a common association (e.g., personal papers).

F.2. Physical processing and space

Whether treated individually or collectively, materials commonly receive considerable physical processing as well as the intellectual processing of accessioning, inventorying, and cataloging. This physical processing often includes preventive preservation treatment. Sometimes, as when materials in chemically unstable media -- such as nitrate films -- must be copied to chemically stable media, this processing is extensive and quite costly. Frequently, simple and inexpensive treatment is called for, such as slipping paper items into plastic sleeves. Even simple, inexpensive treatment may be costly in the aggregate, however, since individual collections may have many thousands of items.

Although the intellectual components of processing can often be estimated with reasonable accuracy before a large collection is processed, the extent of physical processing required may be almost wholly unpredictable. This element of uncertainty causes difficulty in estimating needs for staff, space, equipment, and supplies.

The large physical treatment element in processing materials in unique collections also limits the application of innovative processing methods to improve productivity and reducing arrearage growth without massive additions of staff, space, equipment, and supplies. Automation is already widely used to assist intellectual processing. Although further automation enhancements are needed to improve the processing of unique materials, the impact of these enhancements in improving processing productivity and speeding efforts to reduce arrearages will not be as profound, in aggregate, as the enhancements needed to improve the processing of published materials.

Because labor-intensive physical preparation makes up a large component of the processing of unique materials, and because technological change is unlikely to improve productivity in the foreseeable future, needed increases in processing speed and efficiency must come through additional human resources, organizational improvements, and enhanced physical support (e.g., space, equipment). The Library's ongoing Transition Planning work will include studies focused on this issue.

Particular regard must be given to space in projecting resource needs for processing arrearages. Processing activities in custodial divisions frequently have a significant impact on space, ranging from the space needed for the staff itself, to space needed to lay out collections for physical preparation and organization, to space needed to store the collections after processing.

F.3. Maximizing the application of staff resources

Because materials in unique collections are largely processed in units within custodial divisions, staff responsible for processing commonly also have extensive other responsibilities, such as reference work, which take advantage of their format and subject expertise. Recognizing that its highest priority is to control arrearages, the Library will ensure that the processing functions of staff with dual or multiple responsibilities will, wherever possible, have priority over other functions.

F.4. Obtaining extra resources

Over the years, the Library has gained considerable benefit from financial and other resources provided by a variety of benefactors and supporters. There are numerous opportunities to expand the use of such support for processing work. Grants of funds or services can be sought for hiring temporary staff, contracting out processing functions, and other purposes. Potential donors include foundations, professional and ethnic associations, U.S. foreign country friendship foundations, foreign governments, businesses with interests relating to a collection, American businesses trading abroad, foreign businesses trading in the United States, and groups formed for the advancement of an industry. Grants of funds or services can also be sought from individuals, including people with personal or professional interest in a subject or collection, such as actors, composers, and authors.

There are opportunities for expanded use of collaborative projects involving processing of materials in unique collections. Collaborative projects might be established with other research institutions or with for-profit corporations. The Library might arrange for processing and preservation costs to be paid by another institution. In return for this assistance, the Library might provide microform or other copies of the processed items. Further collaborations might take the form of grant-funded cooperative projects such as the Library's current project with the Association of Research Libraries to produce machine-readable catalog records for the National Register of Microform Masters.

Some additional processing resources may become available in conjunction with the American Memory project, which will use high technology to distribute electronic renderings of items from Library collections to libraries and schools across the country. American Memory will include a number of discrete collections, some of which are now arrearages. If unprocessed, these will be processed as part of the American Memory workflow. The extra appropriated and private funds, and other resources, provided for this work will thereby make a modest contribution toward arrearage reduction goals.

Although the Library has a long history of participation in large-scale, multi-institution processing projects of great value, its costs of participation have not commonly been repaid in cash or services. The Library will investigate opportunities for collaborations that yield processing at little or no net cost to the Library.

In some areas the Library makes limited use of volunteer labor through undergraduate and graduate internships. Although the effort required to make effective use of such volunteer labor sometimes exceeds the benefits received, the use of volunteers does have sufficient potential to warrant serious consideration of expanding its use, particularly with arrearages where a large part of the processing is physical rather than intellectual.

Nothing is without its price, however. Success in obtaining additional financial and other resources will create a need for additional support elements such as administration, supervision, and working space. Efforts to obtain resources will be undertaken only where there is reasonable assurance that these support elements can be provided without unacceptable impacts on existing activities and programs.

F.5. Pictorial materials

In the area of graphic materials, the Library has been innovative in its efforts to gain temporary staff for special projects, using outside grants, collaborative projects, and volunteers for this purpose. Application of these innovative measures is necessarily limited, however, by the technical expertise needed for processing.

Estimating the resources required to process pictorial materials is extremely difficult. There can be enormous fluctuations in the amount of resources needed depending on the nature of the material that has to be processed and cataloged. For example, the degree to which the material already is organized and identified will lead to variations in the pace of processing, and the nature and physical condition of the material will lead to variation in the resources needed for physical preparation. An important factor that contributes to these fluctuations is the individuality of many of the arrearages; each can be fundamentally different from the next in terms of the processing methodology used and the intellectual controls that are applied; each collection must be physically examined and intellectually analyzed in order to determine the treatment and to prepare a plan for processing.

As is the case with all arrearages, but to a much greater extent, the processing of graphic materials has a significant impact on space, ranging from the space needed for staff, to space needed to lay out collections for physical preparation and organization, to space needed to store the collections after processing (estimated to be an average of 50 percent more than prior to processing). Specialized furniture and equipment are significant additional cost elements.

F.6. Moving-image materials

Moving-image materials are often described at a high level of detail. Because such cataloging is very time-consuming and expensive, because catalogers are able to catalog only a small part of the Library's moving-image holdings, and because some commercial moving-image items are cataloged by other libraries and opportunities exist for using this cataloging, the Library will reduce substantially the amount of detail included in its cataloging of these materials.

The Library will revise its procedures so that moving-image materials will be cataloged like books and sound recordings wherever possible, using cataloging available from other sources or creating minimal-level cataloging as appropriate.

F.7. Rare books

Rare book cataloging may be either copy-general (the bibliographic description covers all copies of the work) or copy-specific (the description includes additional elements unique to the copy being cataloged). The provision of copy-specific information as part of the cataloging record provides additional access points for researchers and identifies the particular copy; the latter not only serves scholarship but also serves a security function by confirming ownership. This copy-specific information may also serve an important preservation purpose: making information available in a cataloging record reduces the number of times that valuable and/or fragile materials must be handled. To increase the productivity of rare book catalogers in reducing arrearages, the Library will limit the addition of copy-specific data, ending its use in categories such as: pre-1801 materials being transferred to Rare Book from the general stacks; non-rare pre-1801 Law Library materials; pamphlets; and the twentieth century first edition authors collection.

F.8. Unique music collections

The Library has large holdings of unprocessed unique music materials, but does not have processing staff or expertise to catalog more than a small fraction of them. In providing access to items in the music arrearages the Library mainly relies on shelving arrangement and what limited identification may have been done.

The Music Division collects materials in many formats, including scores, manuscripts, three-dimensional objects, books, serials, graphic materials, and microforms. The division's processing unit does not have adequate space and is greatly understaffed. There is a particular need for staff with the archival training needed to process unique music materials.

F.9. Manuscripts

Although the Manuscript Division has effective and efficient processing procedures, its resources are too limited to implement them on the scale needed to reduce its arrearages. Though improvements in efficiency will be sought, it is certain that both additional staff and more working space will be needed for arrearage containment and reduction.

G. General approaches to containing and reducing arrearages

G.1. Increasing staff resources

Additional staff resources funded for Fiscal Year 1990 will be far below what is required to stop arrearage growth. It is clear than a major increase in processing staff will be required to contain and reduce the arrearages, even though the Library will soon make many major changes in its processing procedures.

Adding staff members offers the greatest promise for arrearage reduction in the areas where extensive physical processing is required. (Examples are manuscripts, prints, photographs, serials, and sound recordings,) In those processing streams where complex intellectual work (e.g., descriptive and subject cataloging of books, cataloging or other description of non-book materials) predominates *and substantial numbers of staff are already in place*, the greatest improvements will be achieved through procedural changes and enhanced technological support.

G.2. Making more efficient use of available cataloging data

The use of cataloging data created elsewhere offers promise for increased efficiency in the Library's cataloging work. There are some procedural and technical changes which must be made if the Library is to realize maximum benefit from this approach. Automation enhancements to increase cataloging efficiency will be given a high priority in the Library's automation development. These include the completion of the Linked Systems Project bibliographic application, the development of a generalized ability to load cataloging records from other databases, and the ability to transfer or copy cataloging records within and among the Library's databases and their component files.

The Library will seek ways to make efficient use of records in other cataloging databases via LSP, tape load, and direct input. Direct input would involve electronically transferring a cataloging record to an online Library file from a terminal that is engaged in an online transaction with another cataloging database. The major uses of these capabilities would be in copy cataloging (using data from other cataloging databases) and to effect the timely transfer of records created by Library staff on RLIN or OCLC.

G.3. Using staff in the Catalog Management and Publication Division

The recent re-evaluation of the Library's National Union Catalog products gives an opportunity to re-deploy skilled cataloging technicians and professionals for work on arrearage reduction. These Catalog Management and Publication Division staff have skills most readily applied to the reduction of book arrearages, but a number have knowledge and experience directly related to non-book cataloging. With moderate training many of them could become proficient in processing non-book materials such as sound recordings.

G.4. Revising priorities and levels of cataloging

The Library's Committee on Cataloging Priorities and Levels of Cataloging has recently proposed that books and serials that have been in arrearage four or more years be given minimal-level rather then full cataloging treatment. Recognizing the importance of subject access, the committee also proposed a new form of rudimentary subject access for minimal-level cataloging. The Library will adopt the first proposal, but may require that an attempt be made to use copy cataloging routines for these books before they are given minimal-level treatment. The Library is considering the establishment of a copy cataloging group in the Catalog Management and Publication Division exclusively to perform this and other copy cataloging work. The Library anticipates adopting the proposal for rudimentary subject access; it would be implemented as soon as the necessary changes can be made to enable the online system to accept uncontrolled subject terms in minimal-level records.

G.5. Limited deaccessioning

There are items and collections in the arrearages that, on review, could prove to have little to no research value. This could result from such events as the passage of time that leads to the material being dated, changes in acquisition policies and/or changes in the perception of the material's inherent research value, or changes in the physical condition of the material that render it unusable and unsalvageable. In the non-book area especially, this could involve whole collections that would require extensive physical processing and preservation that exceeds the intellectual component of processing to an enormous degree. In many cases it might be judged that the research value of the material does not justify the physical work that is required to preserve it and prepare it for service. Further, maintaining this material within the Library's arrearages, even with low processing priorities, involves significant storage space, already a scarce resource.

The deaccessioning (removal) of material with low research value is a useful method for reducing arrearages, but it must be used with great care. It would be distinct from both the initial selection (or non-selection) of materials and the de-selection of individual items within larger collections that occurs during processing.

G.6. Overcoming difficulties posed by foreign languages

The Library acquires many books and serials in languages for which cataloging expertise is scarce. A serious problem concerns the Library's chronic shortage of catalogers and library technicians with certain language abilities. Copy cataloging can assist in overcoming this problem to some extent. In some of the special collections divisions, the combined staff does not have the needed competence in all of the common foreign languages. The shortage of language skills is extremely serious.

The Library will intensify its efforts to recruit employees with needed language skills. It will also work to develop a more effective system of identifying and making use of the language skills of its current staff members.

The Library will explore means of expanding the use of cataloging provided by its overseas offices. These offices have been a particularly valuable source of very economical special-language work. If the Library can expand its use of these offices, it may be practical to send some arrearages to them for cataloging.

APPENDIX A

HISTORICAL PERSPECTIVE

The arrearages cited in this report are not a new phenomenon, but part of a continuum. From its creation in 1800, the Library of Congress has struggled to collect, process, preserve, and make available for congressional and public use its vast and diversified collection. The increasingly rapid pace of acquisitions in the nineteenth century has continued to accelerate through the Library's second century. In the most recent decades, massive technological change, explosive growth in the number of published works, and expansion of the kinds of works protected (and thus deposited) under copyright have run head-on into tightened budgets, staff reductions, preservation needs, and a critical shortage of space.

Between 1815 and 1901, the collection of books, manuscripts, and maps had grown from roughly 7,000 volumes to over 1 million items. In addition, growing numbers of materials in other non-print formats had begun to come into the collections. A phased increase in staffing to cope with the "arrears of work" had begun in 1900. Despite this, the 1901 report of Librarian of Congress Herbert Putnam cited arrearages in the processing of books, newspapers, periodicals, and manuscripts, and noted that it would take several years to catch up with these arrearages. This same report noted that the music collections accumulated prior to 1897 had not been "classified, catalogued, nor made accessible." The report also addressed for the first time the problem of dealing with "current materials" while attempting to gain control over existing collections. The collections totalled 1,071,647, and were comprised primarily of books, serials, maps, manuscripts and music.

Through the first 30 years of this century, technological growth had been the catalyst for a broadening of the kinds of materials afforded copyright protection. This, in turn, increased the Library's receipts of materials of all types. Additionally, the early part of the century was a time of major gifts and bequests to the Library from individuals and corporations. Non-print materials grew significantly.

By the time Archibald MacLeish succeeded Putnam as Librarian in 1939, the Library had a collection of approximately six million volumes and a staff of about 1,100 persons. Non-print materials, primarily prints, photographs, sound recordings, and motion pictures, comprised a major part of the Library's holdings. MacLeish immediately undertook a study of the Library and found serious cataloging backlogs, and unexpected deficiencies in the collections. He reacted by requesting a $1.2 million increase in the Library's budget, and 287 additional positions. The Appropriations Committee felt that "first and foremost in consideration of the needs is the necessity of preventing any further arrearage in the matter of processing material coming into the Library each year ... and second, the preservation and putting into condition of material already in the Library." To this end, the committee approved 130 of the positions requested by the Librarian. MacLeish then carried out a reorganization of the Library, which included an eight-point program to deal with the "appalling arrears."

Toward this end, Canons of Selection were established in 1940, and the administration and organization of the Library were changed to attempt to meet the needs of the second half of the century. In 1944, MacLeish was succeeded by Luther Evans, who established a Planning Committee of prominent persons representing the Library's users. This committee analyzed the Library's operations from many perspectives, and reported to the Librarian in 1947. Among its findings were "...serious arrearages in cataloging and making available material already in hand..."

In 1954, L. Quincy Mumford succeeded Luther Evans as Librarian of Congress. The staff numbered 1,500, the collections totalled 10 million volumes, and the annual appropriation was $9.5 million. By the time he retired in 1974, Mumford had seen the Library through its greatest era of expansion. At the time of his retirement, the staff numbered 4,250, the book collection exceeded 16 million volumes, and the appropriation was $96 million.

The Senate Committee on Rules and Administration of the Library addressed the issue of arrearages in its conclusion of hearings on the appointment of Mumford to the position of Librarian of Congress in 1954. The statement made by that committee is quoted here in part since it mirrors the situation that exists today in the Library:

> *"The Library's most chronic problem is the ever increasing arrearages of unprocessed materials. Since the copyright law of 1870, much of the Library's space has been occupied with uncataloged or untreated items, many of which have not even been uncrated. In 1941 a head-on attack against this arrearage problem was attempted. In that year the present Librarian-designate, Mr. Mumford, was called in as a processing expert. The new system which he set up, though guaranteeing smooth results, did not make the dent in arrearages expected of it. The accretions of World War II and afterward have increased rather than lessened the Library's problem in this regard. If this whole overall problem is to be finally resolved, new methods and even new personnel might be used in a different attack."*

Actions that the Library may have taken in response to the Senate Committee's report apparently were not entirely successful, for by 1958 the Library's own Committee on the Control and Organization of the Collections called for increased appropriations to "eliminate the current arrears" in both the National Union Catalog and the collections of the Library of Congress.

The past 35 years have brought a huge increase in the Library's acquisitions of special materials (i.e., works other than books, serials or microforms) In 1950, special materials made up only 10 percent of the 28,691,350 items in the total collection. By 1980, this had grown to more than 20 percent of the 76,945,300 items. The 1988 Report of the Librarian of Congress shows a total collection of 88,315,534 items, of which 57,751,223 items (65 percent) are special materials.

Today's arrearages reflect both the large numbers of special materials acquired and the Library's inability to provide the processing they must have. While these special materials make up 65 percent of the total collections, they represent 88 percent of the unprocessed arrearages. In addition, several million important special material items which are beyond the scope of this report should receive additional processing to make them adequately known and more readily accessible.

Internal reviews.

The major internal reviews commissioned by Librarians of Congress Daniel Boorstin and James Billington each addressed the arrearage situation.

The 1977 report of the Task Force on Goals, Organization, and Planning called attention to the Library's arrearages of unique materials. That report contained a comprehensive statement which included the following:

> *Recommendation No. 22: that the Library make every effort to gain the same level of support for cataloging its unique collections as it has received for cataloging the current output of the world's presses.*
>
> *The Library has done magnificently in gaining support for its national cataloging programs. The Task Force believes similar support should be forthcoming for cataloging collections in the Library that are unique and constitute national resources. The special collections ... should be brought under suitable bibliographic control and the resulting catalogs and subject analyses made available to other institutions.*

In its November 1988 report, the Management and Planning (MAP) Committee presented this summary of the arrearages issue:

> *One of the most important problems the Library needs to address is the arrearage of unprocessed materials in its collections. Hundreds of*

> *thousands of volumes in the general collections and millions of items in the special collections remain unprocessed and, therefore, unknown and unused. The Library of Congress has emphasized the processing of materials for the general collections for many years; however, even this emphasis has not been able to prevent the accumulation of arrearages of book materials. In the area of special collections, adequate resources for materials processing have never been available and huge unorganized arrearages exist. We need a commitment both to eliminate current arrearages and to establish policies and practices which will prevent the formation of new arrearages.*

The Library's Transition Team responded to the MAP Committee report by establishing the Special Project Team for Unprocessed Arrearages, as noted in Section I of this report.

APPENDIX B

Explanation of information presented in the arrearage list

This appendix was produced from the arrearages database created by the Special Project Team. In interpreting this information consult the following explanation of the column headings and the data elements.

-- ***Collection Name***: the official name or working title of the group of material. Divisions were asked to designate groups of materials as "collections" in a manner consistent with their own information needs and managerial practices.

-- ***Loc-Div***: the organizational unit which has custody of the arrearage.

-- ***For***: a code for the physical format which is predominant in the arrearage. (e.g., an arrearage of 500 books and 20 sound recordings is recorded as 520 books) A complete list of these codes appears below.

-- ***Yr-acq***: the range of dates during which the material was acquired.

-- ***Vintage***: the range of dates during which the material was created/published.

-- ***Bib records***: the number of bibliographic records that must be created during processing.

-- ***Quantity***: the number of items in the arrearage.

-- ***Growth***: the average number of items added to the arrearage each year.

-- ***Prime-Lang***: the predominant language of the items in the arrearage.

-- ***Pri***: the custodial division's priority for elimination of the arrearage. Except in the case of books in the Cataloging Directorate, this is not necessarily based on a formal scheme; rather, it is a judgement based on a variety of factors such as research value, preservation needs, potential use, etc. For books in the Cataloging Directorate, formal cataloging priorities were translated as follows:

Priority 1 or 2 = H; Priority 3 = M; Priority 4 and below = L.

-- ***Staff years***: the number of years of staff labor required to eliminate the arrearage ***using current procedures***. Divisions which perform processing work supplied detailed information about the type, number, GS grade, and production rates of staff needed to employ processing procedures appropriate to the material in the arrearage. These were converted to a figure which combines the labor contributed by all persons who would participate in the processing.

-- ***Staff cost***: the cost of processing the entire arrearage, calculated on the basis of the labor requirements supplied by the divisions which perform processing work. The calculation was performed by first determining for each GS grade the number of labor hours required to process the arrearage, multiplying by the hourly pay rate at the 1990 scale, and adjusting the result to include the agency contribution to total compensation. The resulting figures for all GS grades were summed to obtain the total labor cost of eliminating the arrearage.

ARREARAGE FORMAT CODES

alb	Albums
apt	Aperture cards
atl	Atlases
bks	Books
brd	Broadsides
cds	Computer disks
cts	Computer tapes
drw	Drawings
eng	Engravings/etchings
fni	Film, nitrate
fsf	Film, safety
kit	Kits
lvs	Leaves
mss	Manuscripts
mps	Maps
mfc	Microfiche
mfm	Microfilms
mop	Micro-opaque
msc	Music scores
otr	Other
pgs	Pages
pnt	Paintings
pmp	Pamphlets
per	Periodicals
pml	Photomechanical prints
png	Photonegatives
ppr	Photoprints
pfl	Portfolios
pcd	Postcards
ppl	Printing plates
prt	Print
rla	Realia
scr	Scores
sts	Sheets
sld	Slides
scs	Sound cassettes
scy	Sound cylinders
sds	Sound discs
srs	Sound rolls
str	Sound tape reels
tru	Transprencies
vcs	Videocassettes
vrs	Videorecodings
vrl	Videoreels
wdb	Woodblocks

AFRICAN AND MIDDLE EASTERN DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST	
African Section Pamphlet Collection	Afr//ME	pmp	1960-1989	1960-1989	17,182	17,182	1,000	English	H	4.900	$	92,783
Judaica Pamphlet Collection	Afr/ME	pmp	?-1989	?-1989	1,000	1,000	100	Hebrew	M	.285	$	5,400
Mansuri Collection	Afr/ME	bks	1945-1945	1400-1945	100	3,500	0	Arabic	L	.179	$	4,833
Uncataloged Amharic Monographs	Afr/ME	bks	1980-1989	?-1989	524	524	50	Amharic	H	1.877	$	50,655
Uncataloged Amharic Serials	Afr/ME	per	?-1989	?-1989	70	70	3	Amharic	H	.269	$	8,181
Uncataloged Arabic and Iranic Newspapers	Afr/ME	mfm	?-1989	?-1989	924	19,601	10	Arabic	L	.917	$	23,386
Uncataloged Arabic and Iranic Serials	Afr/ME	per	?-1989	?-1989	293	2,001	30	Persian	H	1.126	$	34,243
Uncataloged Armenian Newspapers	Afr/ME	mfm	?-1989	?-1989	43	2,008	5	Armenian	L	.045	$	1,088
Uncataloged Armenian Serials	Afr/ME	per	?-1989	?-1989	71	2,230	5	Armenian	M	.273	$	8,298
Uncataloged Armenian and Georgian Monographs	Afr/ME	bks	?-1989	?-1983	226	226	300	Georgian	M	.809	$	21,847
Uncataloged Hebraic Items on Microfiche	Afr/ME	mfc	1960-1989	1200-1989	427	2,562	50	Hebrew	H	.424	$	10,807
Uncataloged Hebraic Items on Microfilm	Afr/ME	mfm	1960-1989	1200-1989	1,120	1,120	50	Hebrew	H	1.111	$	28,347
Uncataloged Hebraic Items	Afr/ME	bks	1912-1940	1450-1939	20,000	20,000	0	Hebrew	H	71.630	$	1,933,400
Uncataloged Hebraic Monographs: Transfered	Afr/ME	bks	1980-1989	1980-1989	5,145	5,145	1,500	Hebrew	H	18.427	$	497,367
Uncataloged Hebraic and Yiddish Serials	Afr/ME	per	1912-1989	1912-1989	1,500	1,500	0	Hebrew	M	5.763	$	175,305
Uncataloged Hebraic Newspapers on Microfilm	Afr/ME	mfm	1960-1989	1864-1989	100	100	50	Hebrew	H	.099	$	2,531
Uncataloged Iranic Monographs	Afr/ME	bks	1960-1969	1800-1960	10,394	10,394	0	Persian	M	37.226	$	1,004,788
Uncataloged Turkic Monographs	Afr/ME	bks	1960-1969	1920-1960	6,012	6,012	0	Turkish	M	21.532	$	581,180
Uncataloged Turkic Newspapers	Afr/ME	mfm	?-1989	?-1989	41	6,480	5	Turkish	L	.040	$	1,038

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Uncataloged Turkic Serials	Afr/ME	per	?-1989	?-1989	412	10,133	20	Turkish	H	1.583	$ 48,150
Uncataloged Yiddish Items	Afr/ME	bks	1912-1940	1860-1939	10,000	10,000	0	Yiddish	H	35.815	$ 966,700
Unsearched Hebraic and Yiddish Items	Afr/ME	bks	1970-1989	1900-1989	1,000	1,000	0	Hebrew	M	3.581	$ 96,670
	TOTALS:				76,584	122,788				207.911	$ 5,596,997

AMERICAN FOLKLIFE CENTER

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
AFC: "Printed" Material	AFC	bks	1977-1989	19??-1989	6	74	0	English	H	.3	$ 7,153
AFC: Cassettes	AFC	scs	1977-1989	19??-1989	82	1,036	0	English	H	3.3	$ 112,054
AFC: Magnetic Tapes	AFC	str	1977-1989	19??-1989	182	2,285	0	English	H	4.2	$ 137,100
AFC: Manuscripts	AFC	mss	1977-1989	19??-1989	290	111,352	0	English	H	3.8	$ 112,465
AFC: Moving Image	AFC	vcs	1977-1989	19??-1989	4	58	0	English	H	.2	$ 6,032
AFC: Negatives and Photographs	AFC	ppr	1977-1989	19??-1989	8	50,110	0		H	15.6	$ 415,411
AFC: Other Sound Media	AFC	otr	1977-1989	19??-1989	20	242	0	English	H	.5	$ 16,279
AFC: Scores and Music Books	AFC	scs	1977-1989	19??-1989	4	56	0	English	H	.1	$ 4,210
AFC: Sound Discs	AFC	sds	1977-1989	19??-1989	154	1,926	0	English	H	4.2	$ 129,562
	TOTALS:				750	167,139				32.2	$ 940,266

ASIAN DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
American Mission Press Publications	Asian	pmp	1839-1890	1839-1890	1	196	0		H	.007	$ 198
Burmese Serials	Asian	per	1960-1989	1950-1989	10	100	20	Burmese	H	.038	$ 1,668
Divehi Serials	Asian	per	1962-1989	1962-1989	14	38	10	Divehi	M	.054	$ 1,636
Ethnic Minority Languages: Chinese	Asian	bks	1969-1989	1969-1989	1,000	1,000	100	Chinese	L	3.581	$ 61,040
Materials for Fiching in LC-ND	Asian	bks	1940-1989	1900-1989	338	43	100	Hindi	H	.847	$ 14,436
Microfilm & Fiche: Chinese	Asian	bks	1940-1989	1400-1989	3,600	3,600	0	Chinese	M	12.893	$ 219,744
Microfilms: Periodicals	Asian	mfm	1950-1960	1950-1960	500	500	0	Japanese	L	.513	$ 13,225
PRC Mongolian Imprints	Asian	bks	1982-1989	1982-1989	455	1,300	91	Mongolian	M	1.361	$ 23,195
PRC Smaller Minority Languages	Asian	bks	1982-1989	1982-1989	10	103	5		L	.018	$ 305
PRC Tibetan Monographs	Asian	bks	1982-1989	1982-1989	132	378	50	Tibetan	M	.394	$ 6,714
Pre-1960 South Asian Languages Smaller Publications	Asian	pmp	1939-1955	1900-1955	700	750	0	Sanskrit	H	1.630	$ 43,980
Rubbings : Chinese	Asian	otr	1920-1939	1700-1930	1	2,000	0	Chinese	M	.068	$ 2,020
Slides : Kabuki	Asian	sld	1987-1987	1950-1969	1	10,000	0		L	.341	$ 10,100
South Asian ephemera	Asian	pmp	1839-1989	1839-1989	250	15,000	200	English	M	.511	$ 15,150
South Asia Microfiche	Asian	mfc	1981-1989	1800-1989	4,705	26,265	15,000	English	H	4.827	$ 124,447
South Asia Textbooks	Asian	bks	1850-1989	1850-1989	6	649	20		M	.022	$ 655
South Asian Comic Books	Asian	per	1986-1989	1986-1989	1	38	2	English	M	.004	$ 117
South Asian Government Serials	Asian	per	1945-1989	1945-1989	756	1,034	200		H	2.905	$ 88,354

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
South Asian Manuscripts	Asian	mss	1939-1989	1500-1950	576	576	5	Sanskrit	H	2.063	$ 55,676
South Asian Newspapers	Asian	per	1986-1986	1951-1969	3	9,510	0	Urdu	H	.012	$ 351
South Asian uncataloged serials (commercial)	Asian	per	1950-1989	1950-1989	212	934	100		H	.815	$ 24,776
Southeast Asia Fiche Collection	Asian	mfc	1978-1989	1978-1989	75,000	75,000	18,000	Indonesian	H	76.964	$ 1,983,750
Southeast Asia Palmleaf Mss	Asian	mss	1940-1972	1700-1900	138	138	0	Burmese	M	.476	$ 12,856
Southeast Asian Codex Mss & Early Printed Books	Asian	mss	1940-1972	1700-1900	410	516	0	Indonesian	M	1.819	$ 31,898
Southeast Asian Pamphlet Collection	Asian	pmp	1930-1989	1920-1989	10,250	10,250	400	Thai	M	4.029	$ 108,743
Textbooks: Pre & Post WWII	Asian	bks	1945-1959	1930-1959	7,200	7,200	0	Japanese	L	12.893	$ 219,744
Thai Arrearage	Asian	bks	1960-1985	1945-1985	2,366	2,366	0	Thai	H	8.474	$ 144,421
Thai Serials	Asian	per	1950-1989	1960-1989	250	2,500	100	Thai	H	.961	$ 29,218
Unbound Korean Serials	Asian	per	1950-1989	1894-1989	5,723	59,000	5,000	Korean	H	22.027	$ 668,847
Uncataloged Folio Serials	Asian	per	1971-1989	1971-1989	86	451	10		H	.330	$ 10,051
Uncataloged Monographs: Japanese Post WWII	Asian	bks	1950-1965	1950-1965	36,514	36,514	0	Japanese	L	65.387	$ 1,114,407
Uncataloged children's books - Japanese Post WWII	Asian	bks	1950-1959	1945-1959	2,020	2,020	0	Japanese	L	7.235	$ 123,301
Uncataloged monographs - Pre & Meiji period	Asian	bks	1900-1907	1700-1899	5,600	5,600	0	Japanese	H	20.056	$ 341,824
Uncataloged monographs: Japanese Pre WWII	Asian	bks	1946-1948	1900-1945	110,788	110,788	0	Japanese	M	377.467	$ 10,187,384
Uncataloged serials: Japanese Pre & Post WWII	Asian	per	1930-1989	1900-1989	17,500	17,500	20	Japanese	M	67.239	$ 2,045,225
Vietnamese Serials	Asian	per	1960-1989	1960-1989	120	1,200	60	Vietnamese	H	.461	$ 14,024
Weber Collection	Asian	bks	1903-1903	1750-1900	359	479	0	Sanskrit	H	1.221	$ 20,815
Weber Manuscripts	Asian	mss	1903-1903	1850-1900	56	60	0	Sanskrit	M	.201	$ 5,413
	TOTALS:				287,651	405,596				700.144	$ 17,845,184

BINDING OFFICE

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
MLC serials	Bind	per	1988-1989	1955-1989	1,056	1,056	0	English	L	.5	$ 18,849
	TOTALS:				1,056	1,056				.5	$ 18,849

CATALOGING DIRECTORATE

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Desc Cat Full MARC Uncontrolled Monographs: Arabic & Persian	Cat Dir	bks			16,749	16,749		Arabic	M	59.986	$ 1,618,958
Desc Cat Full MARC Uncontrolled Monographs: Chinese	Cat Dir	bks			5,533	5,533		Chinese	M	19.816	$ 534,820
Desc Cat Full MARC Uncontrolled Monographs: English	Cat Dir	bks			4,909	4,909		English	M	17.581	$ 474,504
Desc Cat Full MARC Uncontrolled Monographs: Hebrew	Cat Dir	bks			4,337	4,337		Hebrew	M	15.533	$ 419,214
Desc Cat Full MARC Uncontrolled Monographs: Korean	Cat Dir	bks			6,407	6,407		Korean	M	22.947	$ 619,301
Desc Cat Full MARC Uncontrolled Monographs: Other	Cat Dir	bks			815	815			M	2.919	$ 78,778
Desc Cat Full MARC Uncontrl Monos: Other Mid-East & African	Cat Dir	bks			648	648			M	2.321	$ 62,636
Desc Cat Full MARC Uncontrolled Monos: South & Southeast Asian	Cat Dir	bks			1,843	1,843			M	6.601	$ 178,144
Desc Cat Full MARC Uncontrolled Monos: Spanish & Portuguese	Cat Dir	bks			10,071	10,071		Spanish	M	36.069	$ 973,463
Desc Cat MLC Uncontrolled Monos: Arabic & Persian	Cat Dir	bks			6,895	6,895		Arabic	L	12.347	$ 333,235
Desc Cat MLC Uncontrolled Monos: Chinese	Cat Dir	bks			11,213	11,213		Chinese	L	20.080	$ 541,924
Desc Cat MLC Uncontrolled Monos: English	Cat Dir	bks			7,613	7,613		English	L	13.633	$ 367,936

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Desc Cat MLC Uncontrolled Monos: Hebrew	Cat Dir	bks			1,958	1,958		Hebrew	L	3.506	$ 94,630
Desc Cat MLC Uncontrolled Monos: Korean	Cat Dir	bks			1,235	1,235		Korean	L	2.212	$ 59,688
Desc Cat MLC Uncontrolled Monos: Other	Cat Dir	bks			625	625			L	1.119	$ 30,206
Desc Cat MLC Uncontrolled Monos: Other Middle-East & African	Cat Dir	bks			2,303	2,303			L	4.124	$ 111,304
Desc Cat MLC Uncontrolled Monos: South & Southeast Asian	Cat Dir	bks			11,933	11,933			L	21.369	$ 576,722
Desc Cat MLC Uncontrolled Monos: Spanish & Portuguese	Cat Dir	bks			5,855	5,855		Spanish	L	10.485	$ 282,972
Priority 2 Monographs: Arabic & Persian	Cat Dir	bks			1,637	1,637		Arabic	H	5.863	$ 158,232
Priority 2 Monographs: Chinese	Cat Dir	bks			17	17		Chinese	H	.061	$ 1,643
Priority 2 Monographs: English	Cat Dir	bks			5,117	5,117		English	H	18.326	$ 494,609
Priority 2 Monographs: French	Cat Dir	bks			171	171		French	H	.612	$ 16,529
Priority 2 Monographs: German	Cat Dir	bks			241	241		German	H	.863	$ 23,295
Priority 2 Monographs: Hebrew	Cat Dir	bks			852	852		Hebrew	H	3.051	$ 82,354
Priority 2 Monographs: Italian	Cat Dir	bks			80	80		Italian	H	.287	$ 7,733
Priority 2 Monographs: Japanese	Cat Dir	bks			29	29		Japanese	H	.104	$ 2,803
Priority 2 Monographs: Korean	Cat Dir	bks			11	11		Korean	H	.039	$ 1,063
Priority 2 Monographs: Other Eastern Asian Languages	Cat Dir	bks			92	92			H	.329	$ 8,893
Priority 2 Monographs: Other Eastern European Languages	Cat Dir	bks			173	173			H	.620	$ 16,722
Priority 2 Monographs: Other Languages	Cat Dir	bks			32	32			H	.115	$ 3,093
Priority 2 Monographs: Other Middle Eastern & African Lang	Cat Dir	bks			52	52			H	.186	$ 5,026
Priority 2 Monographs: Other Western European Languages	Cat Dir	bks			75	75			H	.269	$ 7,250
Priority 2 Monographs: Russian	Cat Dir	bks			86	86		Russian	H	.308	$ 8,313
Priority 2 Monographs: Scandinavian	Cat Dir	bks			31	31			H	.111	$ 2,996

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Priority 2 Monographs: Southern & Southeast Asian Languages	Cat Dir	bks			450	450			H	1.612	$ 43,497
Priority 2 Monographs: Spanish & Portuguese	Cat Dir	bks			451	451		Spanish	H	1.615	$ 43,594
Priority 3 Monographs: Arabic & Persian	Cat Dir	bks			3,248	3,248		Arabic	M	11.633	$ 313,952
Priority 3 Monographs: Chinese	Cat Dir	bks			9	9		Chinese	M	.032	$ 870
Priority 3 Monographs: English	Cat Dir	bks			17,837	17,837		English	M	63.883	$ 1,724,124
Priority 3 Monographs: French	Cat Dir	bks			426	426		French	M	1.526	$ 41,177
Priority 3 Monographs: German	Cat Dir	bks			386	386		German	M	1.382	$ 37,311
Priority 3 Monographs: Hebrew	Cat Dir	bks			2,159	2,159		Hebrew	M	7.732	$ 208,689
Priority 3 Monographs: Italian	Cat Dir	bks			116	116		Italian	M	.415	$ 11,213
Priority 3 Monographs: Japanese	Cat Dir	bks			36	36		Japanese	M	.129	$ 3,480
Priority 3 Monographs: Korean	Cat Dir	bks			10	10		Korean	M	.036	$ 967
Priority 3 Monographs: Other	Cat Dir	bks			30	30			M	.107	$ 2,900
Priority 3 Monographs: Other East Asian Languages	Cat Dir	bks			6	6			M	.021	$ 580
Priority 3 Monographs: Other East European Languages	Cat Dir	bks			326	326			M	1.168	$ 31,511
Priority 3 Monographs: Other Middle Eastern & African Languages	Cat Dir	bks			103	103			M	.369	$ 9,956
Priority 3 Monographs: Other West European Languages	Cat Dir	bks			160	160			M	.573	$ 15,466
Priority 3 Monographs: Russian	Cat Dir	bks			644	644		Russian	M	2.306	$ 62,249
Priority 3 Monographs: Scandinavian	Cat Dir	bks			44	44			M	.158	$ 4,253
Priority 3 Monographs: South & Southeast Asian Languages	Cat Dir	bks			986	986			M	3.531	$ 95,307
Priority 3 Monographs: Spanish & Portuguese	Cat Dir	bks			1,492	1,492		Spanish	M	5.344	$ 144,217
Priority 4-7 Monographs: Arabic & Persian	Cat Dir	bks			3,051	3,051		Arabic	L	10.927	$ 294,910
Priority 4-7 Monographs: Chinese	Cat Dir	bks			2,814	2,814		Chinese	L	10.07	$ 272,001

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Priority 4-7 Monographs: English	Cat Dir	bks			3,417	3,417	English	L	12.23	$ 330,287
Priority 4-7 Monographs: French	Cat Dir	bks			4,534	4,534	French	L	16.238	$ 438,256
Priority 4-7 Monographs: German	Cat Dir	bks			10,019	10,019	German	L	35.883	$ 968,437
Priority 4-7 Monographs: Hebrew	Cat Dir	bks			2,765	2,765	Hebrew	L	9.903	$ 267,265
Priority 4-7 Monographs: Italian	Cat Dir	bks			4,796	4,796	Italian	L	17.177	$ 463,581
Priority 4-7 Monographs: Japanese	Cat Dir	bks			3,614	3,614	Japanese	L	12.943	$ 349,329
Priority 4-7 Monographs: Korean	Cat Dir	bks			535	535	Korean	L	1.916	$ 51,713
Priority 4-7 Monographs: Other	Cat Dir	bks			452	452		L	1.619	$ 43,690
Priority 4-7 Monographs: Other East Asian Languages	Cat Dir	bks			286	286		L	1.024	$ 27,645
Priority 4-7 Monographs: Other East European Languages	Cat Dir	bks			6,866	6,866		L	24.590	$ 663,668
Priority 4-7 Monographs: Other Middle Eastern & African Lang	Cat Dir	bks			219	219		L	.784	$ 21,169
Priority 4-7 Monographs: Other West European Languages	Cat Dir	bks			3,562	3,562		L	12.757	$ 344,303
Priority 4-7 Monographs: Russian	Cat Dir	bks			7,309	7,309	Russian	L	26.177	$ 706,488
Priority 4-7 Monographs: Scandinavian	Cat Dir	bks			5,358	5,358		L	19.190	$ 517,904
Priority 4-7 Monographs: South & Southeast Asian Languages	Cat Dir	bks			8,721	8,721		L	31.234	$ 842,972
Priority 4-7 Monographs: Spanish & Portuguese	Cat Dir	bks			2,518	2,518	Spanish	L	9.018	$ 243,390
Share Cat Full MARC Uncontrolled Monographs: English	Cat Dir	bks			2,200	2,200	English	M	7.879	$ 212,652
Share Cat Full MARC Uncontrolled Monographs: French	Cat Dir	bks			800	800	French	M	2.865	$ 77,328
Share Cat Full MARC Uncontrolled Monographs: German	Cat Dir	bks			3,000	3,000	German	M	10.744	$ 289,980
Share Cat Full MARC Uncontrolled Monographs: Other	Cat Dir	bks			200	200		M	.716	$ 19,332
Share Cat Full MARC Uncontrolled Monos: Other East European	Cat Dir	bks			1,800	1,800		M	6.447	$ 173,988

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Share Cat Full MARC Uncontrolled Monographs: Russian	Cat Dir	bks			4,600	4,600	Russian	M	16.475	$ 444,636
Share Cat Full MARC Uncontrolled Monographs: Scandinavian	Cat Dir	bks			400	400		M	1.433	$ 38,664
Share Cat MLC Uncontrolled Monographs: French	Cat Dir	bks			1,000	1,000	French	L	1.791	$ 48,330
Share Cat MLC Uncontrolled Monographs: Other	Cat Dir	bks			2,500	2,500		L	4.477	$ 120,825
Share Cat MLC Uncontrolled Monos: Other East European Lang	Cat Dir	bks			3,800	3,800		L	6.805	$ 183,654
Share Cat MLC Uncontrolled Monographs: Russian	Cat Dir	bks			1,000	1,000	Russian	L	1.791	$ 48,330
Share Cat MLC Uncontrolled Monographs: Spanish & Portuguese	Cat Dir	bks			5,200	5,200	Spanish	L	9.312	$ 251,316
	TOTALS:				235,893	235,893			731.797	$19,750,344

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EUROPEAN DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Cyrillic 4 Materials	Eur	bks	1954-1957	?-1946	15,500	15,500	0	Russian	L	45.739	$ 1,235,348
Other Slavic Serials and Monographs	Eur	per	1954-1957	?-1946	336	2,000	0	Russian	L	.645	$ 19,634
Postrevolutionary Serials	Eur	per	1950-1959	1917-1945	760	3,325	0	Russian	H	1.460	$ 44,411
Prerevolutionary Government Serials	Eur	per	1954-1957	1800-1917	500	2,500	0	Russian	M	.961	$ 29,218
Prerevolutionary Non-Government Serials	Eur	per	1954-1957	1800-1917	442	2,760	0	Russian	M	.849	$ 25,828
Soviet Serials	Eur	per	1954-1957	1917-1945	3,000	5,500	0	Russian	H	5.763	$ 175,305
Yudin Collection	Eur	bks	1906-1907	?-1905	2,600	2,600	0	Russian	H	9.327	$ 251,914
	Totals				23,138	34,185				64.744	$ 1,781,658

EXCHANGE AND GIFT DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Museum of Modern Art. Art Catalogs and Books	E&G	bks	1989-1989	1850-1985	162	654	370	English	L	.608	$ 16,184
Panama Canal Zone Library Collection (at Landover)	E&G	pmp	1978-1978	1845-1972	1	14,000	0	English	H	.477	$ 14,140
Panama Canal Zone Library Collection (in E&G)	E&G	bks	1981-1981	1681-1965	161	161	0	English	L	.605	$ 16,084
Unprocessed Chinese Monographs	E&G	bks	1985-1989	1980-1989	4,340	4,340	550	Chinese	L	7.361	$ 195,804
Unprocessed Soviet Monographs	E&G	bks	1989-1989	1949-1989	601	601	0	Russian	M	2.067	$ 54,995
Unprocessed State Documents	E&G	bks	1989-1989	1988-1989	7,422	6,747	0	English	M	4.138	$ 152,812
Unprocessed Unsolicited Gifts	E&G	bks	1989-1989	?-1989	350	700	0	English	L	.986	$ 26,224
	TOTALS:				13,037	27,203				16.242	$ 476,243

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GEOGRAPHY AND MAP DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Andrew H. Benton-Herschel V. Jones Collection	G&M	mps	1938-1938	1700-1915	1	251	0	English	M	.001	$ 31
Association of American Railroads	G&M	mps	1950-1950	1850-1930	215	215	0	English	M	.436	$ 13,124
Cartoon maps	G&M	mps	1929-1946	1929-1946	1	23	0	English	L	.001	$ 31
Charles Oscar Paullin Collection	G&M	mps	1930-1940	1791-1883	1	1,240	0	English	M	.001	$ 31
Congressional Serial Set	G&M	mps	1987-1989	1800-1989	1,621	1,621	0	English	L	1.645	$ 49,473
Copyright Map Titles Collection	G&M	otr	?-?	1790-1896	1	1,298	0	English	L	.001	$ 31
Cumulative Backlog to be Cataloged	G&M	mps	1986-1989	1985-1988	11,990	11,990	0	English	M	22.511	$ 676,995
Ethel M. Fair Collection	G&M	mps	1973-1973	1900-1989	1	879	0	English	M	.001	$ 31
Games and puzzles	G&M	otr	1884-1903	1800-1989	1	25	0	English	L	.001	$ 31
George B. McClellan Collection	G&M	mps	1924-1924	1756-1775	152	152	0	English	H	.309	$ 9,278
George Washington Collection	G&M	mps	1930-1949	1930-1949	1,285	1,284	0	English	L	2.607	$ 78,406
Gilbert Thompson Collection	G&M	mps	?-?	1850-1899	1	133	0	English	M	.001	$ 31
Henry Harisse Collection	G&M	mps	1915-1915	1500-1699	1	772	0	English	M	.001	$ 31
Herbert Thatcher Collection	G&M	mps	1980-1980	1800-1899	20	20	0	English	M	.041	$ 1,221
Marcian F. Rossi Collection	G&M	mps	1943-1950	1300-1300	2	175	0	English	M	.003	$ 92
Mary J. Webb Collection	G&M	mps	1941-1941	1800-1925	40	40	0	English	M	.081	$ 2,442
Merriam Collection	G&M	mps	1987-1987	1700-1980	1	339	0	English	M	.002	$ 61
NOA Transfer Collection	G&M	mps	1981-1981	1900-1981	259	259	0	English	M	.526	$ 15,809

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB-RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Nautical Chart Collection	G&M	mps	1970-1986	1960-1970	45	14,420	0	English	M	.091	$ 2,747
Rare Materials	G&M	mps	1930-1969	1832-1969	281	281	0	English	H	.570	$ 17,152
Relief Models	G&M	mps	?-?	?-?	1,372	1,372	0	English	L	2.785	$ 83,747
Thomas Jefferson Collection	G&M	mps	1946-1946	1790-1810	186	186	0	English	M	.378	$ 11,353
Uncataloged Set Maps: Albania	G&M	mps	1958-1967	1918-1940	6	12	0	Albanian	H	.012	$ 366
Uncataloged Set Maps: Asia	G&M	mps	1960-1969	1870-1899	12	47	0		H	.024	$ 732
Uncataloged Set Maps: Belgium	G&M	mps	1910-1961	1850-1939	6	73	0	French	M	.012	$ 366
Uncataloged Set Maps: Bulgaria	G&M	mps	1982-1982	1937-1940	6	178	0	Bulgarian	M	.012	$ 366
Uncataloged Set Maps: China	G&M	mps	1950-1969	1875-1899	48	413	0	Chinese	H	.097	$ 2,930
Uncataloged Set Maps: China (in tubs)	G&M	mps	1977-1977	1900-1945	132	4,560	0	Chinese	L	.268	$ 8,057
Uncataloged Set Maps: Czechoslovakia and Central Europe	G&M	mps	1933-1975	1875-1949	36	764	0	German	H	.073	$ 2,197
Uncataloged Set Maps: Eastern Europe	G&M	mps	1961-1981	1903-1944	6	214	0		H	.012	$ 366
Uncataloged Set Maps: England and Wales	G&M	mps	1984-1984	1850-1850	12	233	0	English	L	.024	$ 732
Uncataloged Set Maps: England and Wales (Northumberland)	G&M	mps	1984-1984	1865-1865	6	40	0	English	M	.012	$ 366
Uncataloged Set Maps: Europe	G&M	mps	1959-1980	1900-1980	12	230	0	English	M	.024	$ 732
Uncataloged Set Maps: Europe (World War I)	G&M	mps	1960-1969	1914-1918	30	1,147	0	German	H	.061	$ 1,831
Uncataloged Set Maps: Europe (fishing and aeronautical)	G&M	mps	1968-1969	1960-1969	1	23	0	English	L	.001	$ 31
Uncataloged Set Maps: Europe (war maps #1)	G&M	mps	1989-1989	1850-1914	6	117	0		M	.012	$ 366
Uncataloged Set Maps: Europe (war maps #2)	G&M	mps	1961-1961	1750-1850	6	176	0	English	H	.012	$ 366
Uncataloged Set Maps: France	G&M	mps	?-?	1918-1918	6	76	0	French	H	.012	$ 366
Uncataloged Set Maps: France (World War I #1)	G&M	mps	1940-1968	1900-1940	6	331	0		H	.012	$ 366
Uncataloged Set Maps: France (World War I #2)	G&M	mps	1941-1941	1916-1919	30	1,032	0		H	.061	$ 1,831

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Uncataloged Set Maps: France (World War I troop placements)	G&M	mps	1948-1967	1917-1918	12	232	0	French	H	.024	$ 732
Uncataloged Set Maps: France (topographic and geological)	G&M	mps	1875-1989	1875-1925	12	396	0	French	M	.024	$ 732
Uncataloged Set Maps: Greece	G&M	mps	1903-1981	1881-1963	12	885	0	Italian	M	.024	$ 732
Uncataloged Set Maps: Hong Kong	G&M	mps	?-?	1846-?	1	11	0		L	.002	$ 61
Uncataloged Set Maps: Hungary	G&M	mps	1907-1981	1885-1960	18	350	0	German	M	.037	$ 1,099
Uncataloged Set Maps: Indochina	G&M	mps	1951-1976	1895-1968	18	387	0	Vietnamese	L	.037	$ 1,099
Uncataloged Set Maps: Iran and Iraq	G&M	mps	1958-1960	1941-1953	6	189	0	German	M	.012	$ 366
Uncataloged Set Maps: Japan	G&M	mps	1960-1969	1880-1899	12	31	0	Japanese	H	.024	$ 732
Uncataloged Set Maps: Jordan	G&M	mps	1953-1953	1949-1949	1	3	0	English	M	.002	$ 61
Uncataloged Set Maps: Manchuria	G&M	mps	1961-1962	1883-1899	6	28	0		H	.012	$ 366
Uncataloged Set Maps: Pakistan	G&M	mps	1914-1971	1871-1956	6	66	0		M	.012	$ 366
Uncataloged Set Maps: Palestine	G&M	mps	1933-1958	1849-1958	18	401	0	Hebrew	M	.037	$ 1,099
Uncataloged Set Maps: Poland, Lithuania, and East Prussia	G&M	mps	1929-1967	1803-1969	30	733	0	Polish	H	.061	$ 1,831
Uncataloged Set Maps: Rumania	G&M	mps	1929-1978	1875-1955	6	275	0	Romanian	H	.012	$ 366
Uncataloged Set Maps: Russia (in tubs)	G&M	mps	1977-1977	1900-1945	82	11,498	0	Russian	H	.166	$ 5,005
Uncataloged Set Maps: Scotland	G&M	mps	1931-1984	1870-1939	12	175	0	English	M	.024	$ 732
Uncataloged Set Maps: Syria and Lebanon	G&M	mps	1931-1977	1921-1958	6	109	0	French	M	.012	$ 366
Uncataloged Set Maps: Turkey	G&M	mps	1928-1981	1870-1975	12	873	0	English	M	.024	$ 732
Uncataloged Set Maps: Yugoslavia	G&M	mps	1948-1982	1916-1972	12	404	0		M	.024	$ 732
	TOTALS:				18,126	63,687				33.304	$ 1,001,724

HISPANIC DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Dobles Segreda Collection	Hisp	pmp	1943-1943	1875-1925	50	1,298	0	Spanish	H	.090	$ 1,526
Gould, Alice B. Collection	Hisp	pmp	1941-1941	1850-1940	472	472	0	Spanish	M	.845	$ 14,405
Pamphlets I	Hisp	pmp	1880-1939	1900-1939	50	13,761	0	Spanish	M	.090	$ 1,526
Pamphlets II	Hisp	pmp	1939-1989	1940-1989	50	10,811	500	Spanish	M	.090	$ 1,526
Spanish Plays	Hisp	bks	1900-1920	1900-1920	100	856	0	Spanish	L	.179	$ 3,052
Technical Reports	Hisp	pmp	1981-1988	1980-1989	379	379	100	Spanish	M	.679	$ 11,567
	TOTALS:				1,101	27,577				1.973	$ 33,602

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LAW LIBRARY

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Looseleafs: Law Library Collection Services Office	LL CSO	lvs	1981-1989	1981-1989	0	297,600	957,500	English	m	1.543	$ 32,736
Looseleafs: Law Library Reading Room	LL AB	lvs	1987-1989	1987-1989	0	262,500	957,500	English	h	1.361	$ 28,875
Uncataloged Arabic Law Material	LL NEA	bks	1975-1988	1975-1988	82	82	0	Arabic	l	.345	$ 9,373
Uncataloged Hebraic Law Material	LL NEA	bks	1963-1988	1960-1987	7	7	0	Hebrew	h	.029	$ 800
Uncataloged Japanese Law Material	LL FE	bks	?-?	1828-1949	353	565	0	Japanese	m	1.365	$ 37,499
Uncataloged Turkish Law Material	LL NEA	bks	1972-1984	1946-1984	180	181	0	Turkish	h	.758	$ 20,574
Uncataloged: Microforms	LL	mfm	1930-1989	1767-1980	100	2,060	1,500	English	m	.151	$ 3,502
Uncataloged: Multi-Language	LL	bks	1930-1969	1850-1969	117,000	117,000	0	English	m	525.807	$13,338,000
Uncataloged: Rare Books	LL	bks	1900-1945	1480-1801	17,000	17,000	0	Latin	h	78.350	$ 2,640,950
	TOTALS:				134,722	696,995				609.709	$16,110,098

MANUSCRIPT DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Allen, Frederick Lewis, 1890-1954	Mss	mss	1974-1987	1916-1954	1	200	0	English	H	.007	$ 202
Alsop, Joseph, 1910-	Mss	mss	1986-1986	1897-1980	1	35,700	0	English	H	1.216	$ 36,057
American Council of Learned Societies	Mss	mss	1970-1987	1919-1987	1	320,000	0	English	H	10.904	$ 323,200
American Historical Association	Mss	mss	1983-1989	1970-1986	1	74,000	0	English	M	2.521	$ 74,740
American Psychological Association	Mss	mss	1982-1986	1943-1986	1	260,000	0	English	H	8.859	$ 262,600
American Scholar	Mss	mss	1987-1987	1931-1980	1	7,800	0	English	M	.266	$ 7,878
American Society of Landscape Architects	Mss	mss	1979-1985	1974-1984	1	30,525	0	English	H	1.040	$ 30,830
American Sociological Association	Mss	mss	1983-1987	1933-1982	1	93,000	0	English	H	3.169	$ 93,930
American Studies Association	Mss	mss	1971-1988	1952-1984	1	74,000	0	English	H	2.521	$ 74,740
Association of Research Libraries	Mss	mss	1974-1982	1932-1979	1	66,000	0	English	H	2.249	$ 66,660
Astin, Allan Varley, 1904-1984.	Mss	mss	1986-1986	1939-1973	1	32,000	0	English	H	1.090	$ 32,320
Austin, Bernard Lige, 1902-	Mss	mss	1984-1984	1917-1979	1	7,500	0	English	H	.256	$ 7,575
Balchen, Bernt, 1899-1973	Mss	mss	1979-1987	1917-1985	1	900	0	English	L	.031	$ 909
Barnes, Harry George, 1926-	Mss	mss	1988-1988	1978-1988	1	100	0	English	H	.003	$ 101
Barth, John	Mss	mss	1988-1988	1970-1986	1	50	0	English	H	.002	$ 50
Basler, Roy Prentice, 1906-	Mss	mss	1974-1982	1832-1981	1	25,521	0	English	H	.870	$ 25,776
Beligan Children's Letters	Mss	mss	1985-1985	1915-1915	1	12,000	0	English	H	.409	$ 12,120
Bernays, Edward L., 1891-	Mss	mss	1968-1979	1891-1979	1	18,029	0	English	L	.614	$ 18,209
Berry, Faith Daryl, 1939-	Mss	mss	1984-1984	1975-1980	1	2,500	0	English	L	.085	$ 2,525
Block, Ralph, 1889-1974	Mss	mss	1976-1976	1882-1968	1	8,000	0	English	H	.273	$ 8,080
Bollingen Foundation	Mss	mss	1985-1988	1945-1977	1	5,150	0	English	H	.175	$ 5,201

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Bonaparte, Marie, Princess 1882-1962	Mss	mss	1983-1987	1925-1965	1	12,000	0	English	H	.409	$ 12,120
Boorstin, Daniel J. 1914-	Mss	mss	1975-1988	1901-1987	1	102,604	0	English	H	3.496	$ 03,630
Bork, Robert H.	Mss	mss	1988-1988	1963-1965	1	15,000	0	English	H	.511	$ 15,150
Bornstein, Berta, D. 1971.	Mss	mss	1975-1975	?-?	1	15,000	0	English	H	.511	$ 15,150
Bowles, Edward Lindley, 1897-	Mss	mss	1988-1989	1938-1989	1	4,250	0	English	H	.145	$ 4,292
Brademas, John, 1927-	Mss	mss	1980-1981	1950-1980	1	361,030	0	English	L	12.302	$ 364,640
Brennan, Francis Edwin, 1910-	Mss	mss	1984-1984	1930-1969	1	10,000	0	English	H	.341	$ 10,100
Brenner, Anita, 1905-1974.	Mss	mss	1983-1983	1920-1973	1	120,000	0	English	L	4.089	$ 121,200
Brent, Charles Henry, BP., 1862-1929	Mss	mss	1979-1979	1897-1929	1	650	0	English	H	.022	$ 656
Brode, Wallace Reed, 1900-1974.	Mss	mss	1986-1986	1917-1970	1	11,000	0	English	H	.375	$ 11,110
Brooke, Edward William, 1919-	Mss	mss	1978-1982	1962-1978	1	608,396	0	English	H	20.731	$ 614,480
Brunswick, Ruth Mack.	Mss	mss	1986-1987	1923-1943	1	46	0	English	H	.002	$ 46
Bryson, Lyman, 1888-1959.	Mss	mss	1979-1979	1906-1959	1	1,500	0	English	H	.051	$ 1,515
Buell, Raymond Leslie, 1896-1946	Mss	mss	1983-1983	1920-1974	1	20,000	0	English	H	.681	$ 20,200
Caesar, Sid, 1922-	Mss	mss	1987-1987	1950-1957	1	2,300	0	English	M	.078	$ 2,323
Cairns, Huntington, 1904-1985	Mss	mss	1964-1989	1794-1980	1	48,194	0	English	H	1.642	$ 48,676
Carroll, Wallace, 1906	Mss	mss	1985-1986	1941-1952	1	1,100	0	English	L	.037	$ 1,111
Carson, Gerald, 1899-	Mss	mss	1980-1987	1936-1985	1	3,050	0	English	H	.104	$ 3,080
Chase, Stuart, 1888-1985	Mss	mss	1987-1987	1932-1978	1	17,250	0	English	H	.588	$ 17,422
Childs, James Bennett, 1895	Mss	mss	1976-1982	1922-1977	1	18,645	0	English	H	.635	$ 18,831
Christie, Ralph W.	Mss	mss	1984-1984	1941-1945	1	150	0	English	H	.005	$ 151
Clark, Kenneth Bancroft, 1914-	Mss	mss	1973-1989	1936-1987	1	226,062	0	English	H	7.703	$ 228,323
Cline, Ray S.	Mss	mss	1989-1989	1971-1986	1	60,000	0	English	H	2.044	$ 60,600
Coe, Richard Livingston, 1916-	Mss	mss	1978-1978	1932-1976	1	4,000	0	English	L	.136	$ 4,040

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Colbert, John W., 1880-1955	Mss	mss	1978-1978	1903-1965	1	2,500	0	English	H	.085	$ 2,525
Colm, Gerhard, 1897-	Mss	mss	1970-1970	1933-1968	1	13,500	0	English	H	.460	$ 13,635
Cook, Robert Carter, 1898-	Mss	mss	1983-1986	1891-1986	1	25,918	0	English	H	.883	$ 26,177
Craven, Thomas Tingey, 1873-1950	Mss	mss	1984-1984	1842-1955	1	500	0	English	H	.017	$ 505
Cronyn, Hume, 1911-	Mss	mss	1966-1987	1909-1985	1	65,850	0	English	H	2.244	$ 66,508
Dearstyne, Howard, 1923-1979	Mss	mss	1988-1988	1923-1979	1	25,000	0	English	H	.852	$ 25,250
Denker, Henry	Mss	mss	1968-1988	1944-1986	1	4,750	0	English	H	.162	$ 4,797
Denny, George Vernon, 1899-1959.	Mss	mss	1975-1976	1935-1960	1	2,000	0	English	H	.068	$ 2,020
Deyo, Morton Lyndholm, 1887-1973	Mss	mss	1982-1982	1917-1969	1	2,500	0	English	H	.085	$ 2,525
Doriot, George Frederic, 1899-1987.	Mss	mss	1988-1988	1926-1951	1	8,500	0	English	H	.290	$ 8,585
Draper, Charles Stark	Mss	mss	1979-1979	1773-1972	1	3,500	0	English	H	.119	$ 3,535
DuPont, Marcelle Miller, d. 1985	Mss	mss	1986-1986	1879-1978	1	7,875	0	English	H	.268	$ 7,954
Eaker, Ira Clarence, 1896-1987.	Mss	mss	1982-1987	1861-1985	1	54,178	0	English	H	1.846	$ 54,720
Eckart, Carl, 1902-1973.	Mss	mss	1974-1974	1929-1969	1	13,500	0	English	H	.460	$ 13,635
Elder, Abram P.T.	Mss	mss	1979-1979	1904-1914	1	3,600	0	English	M	.123	$ 3,636
Elkisch, Paula	Mss	mss	1980-1980	?-?	1	1,000	0	English	H	.034	$ 1,010
Ertegun Romanian Manuscript Collection	Mss	mss	1985-1985	1554-1857	1	190	0	English	L	.006	$ 192
Etzioni, Amitai, 1929-	Mss	mss	1986-1987	1961-1986	1	215,000	0	English	L	7.326	$ 217,150
Frederick Douglass Memorial and Historical Association	Mss	mss	1981-1987	1939-1986	1	2,270	0	English	H	.077	$ 2,293
Federn, Paul, 1871-1950	Mss	mss	1967-1986	1877-1947	1	7,180	0	English	H	.245	$ 7,252
Feis, Herbert, 1893-1972	Mss	mss	1985-1985	1924-1943	1	1,500	0	English	H	.051	$ 1,515
Fielding, Temple Hornaday, 1913-	Mss	mss	1976-1976	1968-1969	1	100	0	English	H	.003	$ 101
Flexner, Abraham, 1866-1959.	Mss	mss	1986-1986	1908-1952	1	11	0	English	H	.000	$ 11
Foulois, Benjamin Delahauf. 1879-1967	Mss	mss	1986-1986	1903-1966	1	300	0	English	H	.010	$ 303

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Freud, Anna, 1895-	Mss	mss	1972-1988	1920-1983	1	135,162	0	English	H	4.606	$ 136,514
Freud, Harry, 1909-1968	Mss	mss	1972-1972	1850-1969	1	6,058	0	English	H	.206	$ 6,119
Friede, Donald Sergey, 1901-1965.	Mss	mss	1980-1980	1901-1965	1	2,000	0	English	H	.068	$ 2,020
Gardiner, Muriel, 1901-1985	Mss	mss	1986-1986	1908-1980	1	2,000	0	English	H	.068	$ 2,020
Gerig, Benjamin, 1894-1976	Mss	mss	1986-1986	1929-1974	1	2,000	0	English	H	.068	$ 2,020
Gertz, Elmer, 1906	Mss	mss	1966-1969	1862-1988	1	238,739	0	English	H	9.839	$ 291,626
Glenn, John, 1921-	Mss	mss	1968-1968	1962-1964	1	90,000	0	English	L	3.067	$ 90,900
Goddard, George W., 1889-	Mss	mss	1985-1985	1917-1976	1	10,000	0	English	H	.341	$ 10,100
Goldberg, Arthur J.	Mss	mss	1987-1988	1772-1980	1	17,800	0	English	H	.607	$ 17,978
Golovin, Nicholas Erasmus, 1912-1976	Mss	mss	1977-1977	1948-1970	1	5,000	0	English	H	.170	$ 5,050
Goodman, Leo, 1910-1982	Mss	mss	1983-1983	1928-1982	1	307,500	0	English	H	10.478	$ 310,575
Grant, Ulysses S. 1822-1885	Mss	mss	1989-1989	1843-1969	1	3,000	0	English	H	.102	$ 3,030
Greene, Lorenzo Johnston, 1899-	Mss	mss	1989-1989	1913-1982	1	53,000	0	English	L	1.806	$ 53,530
Greenslade, John Willis, 1880-1958	Mss	mss	1977-1977	1847-1949	1	4,500	0	English	H	.153	$ 4,545
Gridiron Club, Washington, D.C.	Mss	mss	1986-1989	1949-1987	1	3,330	0	English	H	.113	$ 3,363
Grosvenor Family	Mss	mss	1982-1982	1880-1965	1	2,500	0	English	H	.085	$ 2,525
Haig, Alexander M, 1924-	Mss	mss	1979-1982	1961-1982	1	241,000	0	English	H	8.212	$ 243,410
Hammer, Armand, 1898-	Mss	mss	1989-1989	1922-1988	1	57	0	English	L	.002	$ 58
Harper's Magazine	Mss	mss	1979-1983	1889-1982	1	35,000	0	English	H	1.193	$ 35,350
Harris, Patricia, 1924-1986	Mss	mss	1985-1985	1960-1980	1	196,150	0	English	H	6.684	$ 198,111
Hayden, Edward Everett, 1858-1932	Mss	mss	1979-1979	1861-1933	1	18,113	0	English	H	.617	$ 18,294
Henderson, Loy E., 1892-1986	Mss	mss	1987-1987	1950-1986	1	350	0	English	H	.012	$ 353
Hill, Henry Aaron, 1915-1979	Mss	mss	1981-1981	1937-1978	1	95,000	0	English	M	3.237	$ 95,950
Hobson, Richmond Pearson, 1870-1937	Mss	mss	1986-1986	1901-1966	1	500	0	English	H	.017	$ 505

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Horner, Frederick Cecil, 1887-1974	Mss	mss	1986-1986	1918-1941	1	55,000	0	English	H	1.874	$ 55,550
Howard, Barnett Allen, b. 1827	Mss	mss	1988-1988	1900-1972	1	30	0	English	H	.001	$ 30
Hyman, Stanley Edgar, 1919-1970	Mss	mss	1979-1979	1934-1970	1	16,000	0	English	H	.545	$ 16,160
Information Please Almanac	Mss	mss	1981-1981	1936-1977	1	300	0	English	H	.010	$ 303
International Psycho-Analytical Association	Mss	mss	1972-1972	1960-1969	1	9,000	0	English	H	.307	$ 9,090
International Research and Exchange Board	Mss	mss	?-?	?-?	1	300,000	0	English	H	10.222	$ 303,000
Jacobson, Edith	Mss	mss	1980-1980	?-?	1	3,000	0	English	H	.102	$ 3,030
Jekels, Ludwig, 1867-1954	Mss	mss	1986-1986	1907-1954	1	1,000	0	English	H	.034	$ 1,010
Kantor, Mackinlay, 1904-	Mss	mss	1968-1978	1911-1977	1	16,100	0	English	H	.549	$ 16,261
Key-Cutts-Turner Family Papers, 1808-1978.	Mss	mss	1985-1985	1808-1978	1	135	0	English	H	.005	$ 136
King, Alexander, 1900-1965	Mss	mss	1988-1988	?-?	1	2,000	0	English	L	.068	$ 2,020
Kissinger, Henry Alfred, 1923-	Mss	mss	1976-1986	1952-1976	1	401,400	0	English	H	13.677	$ 405,414
Kreilberg, Sherman, 1892-1979	Mss	mss	1979-1979	1920-1977	1	10,000	0	English	H	.341	$ 10,100
Krutch, Joseph Wood, 1893-1970	Mss	mss	1979-1979	1933-1970	1	500	0	English	H	.017	$ 505
Lafollette Family	Mss	mss	1988-1988	1905-1988	1	10,000	0	English	H	.341	$ 10,100
Lawrie, Lee Oskar, 1877-1963	Mss	mss	1985-1986	1905-1961	1	454	0	English	H	.015	$ 459
Leadership Conference on Civil Rights	Mss	mss	1980-1987	1969-1984	1	61,500	0	English	H	2.096	$ 62,115
League of Women Voters of The United States.	Mss	mss	1981-1985	1920-1982	1	272,000	0	English	H	9.268	$ 274,720
Lerner, Olla Ptachya, 1903-1982	Mss	mss	1929-1986	1989-1986	1	65,000	0	English	H	2.215	$ 65,650
Leventhal, Harold, 1915-1979	Mss	mss	1980-1980	1945-1979	1	65,750	0	English	H	2.240	$ 66,407
Lewin, Bertram David, 1896-	Mss	mss	1889-1971	1989-1971	1	4,500	0	English	H	.153	$ 4,545
Lewis, Anthony, 1927	Mss	mss	1977-1979	1963-1974	1	3,650	0	English	L	.124	$ 3,686
Lewis, Nolan Don Carpentier, 1889-1979	Mss	mss	1976-1976	1935-1972	1	4,001	0	English	H	.136	$ 4,041
Library of Congress. Copyright Office. Mss. Plays	Mss	mss	1986-1989	1901-1988	1	128,000	0	English	H	4.361	$ 129,280

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Liebengood, Howard Scholey, 1942-	Mss	mss	1983-1983	1973-1982	1	20,000	0	English	L	.681	$ 20,200
Literary Society of Washington	Mss	mss	1967-1988	1967-1988	1	376	0	English	H	.013	$ 380
Little, Arthur Dehon, 1863-1935	Mss	mss	1964-1980	1863-1943	1	51,000	0	English	H	1.738	$ 51,510
Loening, Grover Cleveland, 1888-	Mss	mss	1975-1975	1912-1974	1	5,800	0	English	H	.198	$ 5,858
Loewenstein, Elisabeth Royetta (Geleerd), 1909-1969	Mss	mss	1982-1982	1927-1972	1	3,500	0	English	H	.119	$ 3,535
Loewenstein, Rudolph M., 1898-	Mss	mss	1977-1977	1939-1975	1	7,000	0	English	H	.229	$ 7,070
Loewy, Raymond Fernand, 1893-1986	Mss	mss	1987-1987	1903-1987	1	600	0	English	H	.020	$ 606
Logan, Joshua	Mss	mss	1989-1989	1890-1986	1	80,000	0	English	H	2.726	$ 80,800
Logan, Rayford Whittingham, 1897-1982	Mss	mss	1984-1984	1926-1980	1	600	0	English	H	.020	$ 606
Lowenheim, Katie Scofield	Mss	mss	1983-1986	1893-1986	1	861	0	English	H	.029	$ 870
Luce, Claire Boothe, 1903-1987	Mss	mss	1989-1989	1862-1987	1	50,000	0	English	H	1.704	$ 50,500
Malamud, Bernard	Mss	mss	1970-1989	1948-1986	1	8,640	0	English	H	.294	$ 8,726
Malik, Charles Habib, 1906-	Mss	mss	1978-1983	1920-1982	1	155,000	0	English	L	5.281	$ 156,550
Malina, Frank J., 1912-1981	Mss	mss	1985-1987	1930-1981	1	4,320	0	English	H	.147	$ 4,363
Martin, John Bartlow, 1915-	Mss	mss	1978-1988	1920-1983	1	450,325	0	English	H	15.344	$ 454,828
Mayo, Henry Thomas, 1856-1937	Mss	mss	1982-1982	1866-1937	1	8,300	0	English	H	.283	$ 8,383
McCormick, Kenneth Dale, 1906-	Mss	mss	1986-1988	1919-1988	1	33,100	0	English	L	1.128	$ 33,431
McCrumb, Fred Rodgers, 1925-1976	Mss	mss	1983-1983	1959-1969	1	15,000	0	English	H	.511	$ 15,150
McGranery, James Patrick, 1895-1962	Mss	mss	1981-1981	1940-1973	1	1,500	0	English	H	.051	$ 1,515
Mead, Margaret, 1901-1978	Mss	mss	1985-1988	1864-1984	1	18,000	0	English	H	.613	$ 18,180
Merriam, Clinton Hart, 1855-1942	Mss	mss	1976-1976	1880-1931	1	3,600	0	English	H	.123	$ 3,636
Meyer, Eugene, 1875-1959	Mss	mss	1978-1982	1889-1965	1	20,143	0	English	H	.686	$ 20,344
Michener, James A.	Mss	mss	1971-1989	1954-1989	1	18,952	0	English	L	.646	$ 19,142

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	NB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Miller, Samuel Freeman, 1816-1890	Mss	mss	1988-1988	1854-1887	1	185	0	English	H	.006	$ 187
Morris, Arthur J., 1881-1973	Mss	mss	1982-1983	1899-1980	1	1,250	0	English	H	.043	$ 1,262
Moss, Arnold	Mss	mss	1977-1987	1957-1987	1	1,555	0	English	H	.053	$ 1,571
Mount, Charles Merrill, 1928-	Mss	mss	1980-1985	1941-1985	1	44,000	0	English	L	1.499	$ 44,440
Mowrer, Edgar Ansel, 1892-1977	Mss	mss	1977-1980	1910-1977	1	2,500	0	English	H	.085	$ 2,525
Moynihan, Daniel Patrick, 1927-	Mss	mss	1977-1989	1955-1988	1	444,891	0	English	L	15.159	$ 449,340
Murray, John Milne, 1896-1982	Mss	mss	1984-1984	1936-1982	1	5,400	0	English	H	.184	$ 5,454
N.A.A.C.P.	Mss	mss	1977-1988	1910-1982	1	691,000	0	English	H	3.000	$ 78,000
National Council of Jewish Women, Washington, D.C.	Mss	mss	1974-1989	1944-1975	1	162,503	0	English	H	5.537	$ 164,128
National Society of Arts and Letters	Mss	mss	1988-1988	1961-1988	1	310	0	English	H	.011	$ 313
National Urban League	Mss	mss	1976-1989	1917-1985	1	353,800	0	English	H	12.055	$ 357,338
National Urban League. Southern Regional	Mss	mss	1983-1983	1960-1978	1	7,000	0	English	H	.239	$ 7,070
National Urban League. Washington Bureau	Mss	mss	1986-1986	1974-1985	1	15,000	0	English	H	.511	$ 15,150
National Woman's Party	Mss	mss	1987-1987	1916-1950	1	2,400	0	English	H	.082	$ 2,424
Neufeld, Maurice Frank, 1910-	Mss	mss	1984-1984	1947-1984	1	2,000	0	English	H	.068	$ 2,020
Niederland, William Guglielmo, 1904-	Mss	mss	1982-1987	1926-1981	1	4,315	0	English	H	.147	$ 4,358
Odom, William E.	Mss	mss	1986-1988	1977-1988	1	30,034	0	English	H	1.023	$ 30,334
Osborne, John, 1907-1981	Mss	mss	1982-1984	1941-1981	1	46,179	0	English	H	1.574	$ 46,641
Paine, Thomas Otten, 1921-	Mss	mss	1972-1989	1967-1988	1	385,002	0	English	H	13.119	$ 388,852
Parrish, Wayne W., 1907-	Mss	mss	1975-1976	1928-1974	1	9,001	0	English	H	.307	$ 9,091
Patterson, Frederick Douglass	Mss	mss	1988-1989	1926-1988	1	35,150	0	English	H	1.198	$ 35,501
Peirce, Waldo, 1884-1970	Mss	mss	1986-1986	1893-1985	1	327	0	English	H	.011	$ 330
Pertschuk, Michael, 1933-	Mss	mss	1984-1984	1977-1983	1	54,000	0	English	L	1.840	$ 54,540
Phillips, David Atlee	Mss	mss	1988-1988	1943-1988	1	750	0	English	H	.026	$ 757

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Piccard Family	Mss	mss	1985-1985	1914-1981	1	64,000	0	English	H	2.181	$ 64,640
Pierson, Job, 1791-1860	Mss	mss	1983-1985	1783-1882	1	600	0	English	H	.020	$ 606
Poor, Alfred Easton, 1899-1988	Mss	mss	1988-1988	1917-1983	1	3,000	0	English	H	.102	$ 3,030
Price, Vincent, 1911-	Mss	mss	1970-1989	1920-1988	1	57,400	0	English	M	1.956	$ 57,974
Quastler, Gertrude, 1909-1963	Mss	mss	1988-1988	1910-1963	1	750	0	English	H	.026	$ 757
Quay, Matthew Stanely, 1833-1904	Mss	mss	1988-1988	1856-1904	1	5,000	0	English	H	.170	$ 5,050
Quinn, David B.	Mss	mss	1986-1989	1931-1989	1	45,876	0	English	H	1.563	$ 46,335
Rabi, I.I. (Isidor Isaac), 1881-1953	Mss	mss	?-?	?-?	1	37,500	0	English	H	1.278	$ 37,875
Randall, James Garfield, 1881-1953	Mss	mss	1965-1981	1914-1960	1	18,100	0	English	H	.617	$ 18,281
Reichelderfer, Francis Wilton, 1895-1983	Mss	mss	1983-1983	1918-1982	1	8,500	0	English	H	.290	$ 8,585
Reid Family	Mss	mss	1987-1988	1865-1968	1	28,200	0	English	H	.961	$ 28,482
Reid, Samuel Chester, 1783-1861	Mss	mss	1989-1989	1816-1889	1	128	0	English	H	.004	$ 129
Richardson, Elliot L. 1920-	Mss	mss	1977-1987	1951-1984	1	264,000	0	English	H	8.996	$ 266,640
Riis, Roger William, 1894-1953	Mss	mss	1977-1987	1914-1974	1	1,555	0	English	H	.053	$ 1,571
Ristow, Walter William, 1908-	Mss	mss	1988-1988	1878-1987	1	1,000	0	English	H	.034	$ 1,010
Rivers, Lucius Mendel, 1905-1970	Mss	mss	1980-1980	1955-1960	1	50,000	0	English	L	1.704	$ 50,500
Rivlin, Alice M.	Mss	mss	1989-1989	1966-1988	1	10,000	0	English	L	.341	$ 10,100
Robson, May, 1858-1942	Mss	mss	1989-1989	1886-1950	1	300	0	English	H	.010	$ 303
Rogers, Carl Ransom, 1902-	Mss	mss	1977-1988	1942-1986	1	46,000	0	English	H	1.567	$ 46,460
Roosevelt, Archibald, 1918-	Mss	mss	1988-1988	1942-1988	1	300	0	English	H	.010	$ 303
Roth, Philip	Mss	mss	1977-1977	?-?	1	1,500	0	English	H	.051	$ 1,515
Rubey, William Walden 1898-1974	Mss	mss	1974-1976	1920-1974	1	35,100	0	English	H	1.196	$ 35,451
Rumsfeld, Donald, 1932-	Mss	mss	1977-1985	1960-1984	1	85,000	0	English	L	2.896	$ 85,850
Rusher, William A., 1923-	Mss	mss	1989-1989	1965-1986	1	50,000	0	English	H	1.704	$ 50,500

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Rustin, Bayard, 1910-	Mss	mss	1988-1988	1963-1985	1	750	0	English	H	.026	$ 757
Safire, William, 1929-	Mss	mss	1986-1986	1960-1974	1	65,000	0	English	H	2.215	$ 65,650
Schneider, John Thomas, 1895-1976	Mss	mss	1984-1984	1919-1960	1	750	0	English	H	.026	$ 757
Schuller, Rodolfo R., 1873-1932	Mss	mss	1976-1976	?-?	1	7,140	0	Spanish	H	.243	$ 7,211
Schur, Max	Mss	mss	1986-1987	1900-1985	1	2,000	0	English	H	.068	$ 2,020
Simpson, Louis Aston Marentz, 1923-22	Mss	mss	1964-1988	1936-1988	1	9,500	0	English	H	.324	$ 9,595
Small Backlog (composite collection)	Mss	mss	1980-1989	1800-1989	0	10,000	0	English	H	.341	$ 10,100
Smith, Erwin Frink, 1854-1927	Mss	mss	1987-1987	1891-1927	1	600	0	English	H	.020	$ 606
Smythe, Hugh Heyne, 1913-1977 (and Mable M.)	Mss	mss	1977-1988	1942-1987	1	76,900	0	English	H	2.620	$ 77,669
Society of Woman Geographers	Mss	mss	1988-1988	1911-1983	1	11,100	0	English	H	.378	$ 11,211
Spaatz, Carl, 1891-1974	Mss	mss	1968-1988	1940-1974	1	4,051	0	English	H	.138	$ 4,092
Steinhardt, Laurence Adolph, 1892-1950	Mss	mss	1981-1981	1930-1948	1	3,000	0	English	H	.102	$ 3,030
Stephenson Family	Mss	mss	1986-1986	1745-1968	1	6,000	0	English	H	.204	$ 6,060
Strauss, Joseph, 1861-1874	Mss	mss	1988-1988	1884-1945	1	150	0	English	H	.005	$ 151
Sumner, Family Papers	Mss	mss	?-?	?-?	1	113	0	English	H	.004	$ 114
Swidler, Joseph Charles, 1907-	Mss	mss	1980-1982	1962-1975	1	19,000	0	English	H	.647	$ 19,190
Szent-Gyorgyi, Albert, 1893-	Mss	mss	1988-1988	1939-1985	1	1,500	0	English	H	.051	$ 1,515
Taft, Charles Phelps, 1897-1983	Mss	mss	1983-1983	1928-1981	1	25,000	0	English	H	.852	$ 25,250
Taft, Robert, 1917-	Mss	mss	1976-1987	1960-1980	1	210,536	0	English	M	7.174	$ 212,641
Taft, William Howard, 1945-	Mss	mss	1989-1989	1962-1989	1	27,500	0	English	H	.937	$ 27,775
Thayer, Robert Helyer, 1901-	Mss	mss	1981-1984	1929-1968	1	5,500	0	English	H	.187	$ 5,555
Turpeau, Anne	Mss	mss	1986-1986	1946-1985	1	15,000	0	English	H	.511	$ 15,150
Tuve, Merle Antony, 1901-1982	Mss	mss	1982-1982	1917-1982	1	2,100	0	English	H	.072	$ 2,121
United States. President's Commission on C.I.A Atrocities	Mss	mss	1977-1977	1976-1977	1	13,000	0	English	H	.443	$ 13,130

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Valeo, Francis Ralph, 1916-	Mss	mss	1977-1985	1953-1976	1	16,900	0	Latin	H	.576	$ 17,069
WOR (Radio & television station)	Mss	mss	1985-1985	1937-1970	1	900,000	0	English	H	30.667	$ 909,000
Wakefield, William	Mss	mss	?-?	?-?	1	17,200	0	English	H	.586	$ 17,372
Waterman, Alan Tower, 1892-1967	Mss	mss	1975-1975	1939-1964	1	1,200	0	English	H	.041	$ 1,212
Wechsberg, Joseph, 1907-	Mss	mss	1975-1980	1944-1977	1	7,000	0	English	H	.239	$ 7,070
Wertham, Frederic, 1895-1981	Mss	mss	1987-1988	1918-1981	1	50,000	0	English	H	1.704	$ 50,500
White, Byron R., 1917-	Mss	mss	?-?	?-?	1	127,000	0	English	L	4.327	$ 128,270
White, John Campbell, 1884-1967	Mss	mss	1988-1988	1902-1927	1	500	0	English	H	.017	$ 505
Willard family	Mss	mss	1977-1986	1850-1967	1	70,000	0	English	H	2.385	$ 70,700
Wilson, Woodrow, 1856-1924	Mss	mss	?-?	?-?	1	12,000	0	English	H	.409	$ 12,120
Wilson-McAdoo Family Papers, 1909-1944	Mss	mss	1983-1983	1909-1944	1	1,093	0	English	H	.037	$ 1,104
Wright, Elfyur, 1804-1885	Mss	mss	1989-1989	1827-1901	1	2,000	0	English	H	.068	$ 2,020
Wright, J. Skelly	Mss	mss	1988-1988	1962-1987	1	14,000	0	English	H	.477	$ 14,140
Yanker, Gary	Mss	mss	1987-1987	1967-1972	1	1,200	0	English	H	.041	$ 1,212
Zwemer, Raymond Tull, 1902-	Mss	mss	1980-1980	1880-1977	1	2,000	0	English	H	.068	$ 2,020
TOTALS					226	11,951,764				386.627	$11,451,361

MICROFORM READING ROOM

COLLECTION NAME	LOC DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
General Unprocessed Microform Materials	GRR	mfm	1980-1989	1980-1989	55	2,177	0	English	H	056	$ 1,455
Slavic Negative Microfilm	GRR	mfm	1982-1989	1970-1989	680	1,464	100	Russian	M	697	$ 17,986
Uncataloged Reference Serials on Microfiche	GRR	mfc	1982-1989	1982-1989	50	854	300	English	H	051	$ 1,323
Uncataloged Serial Supplements on Microfiche	GRR	mfc	1980-1989	1979-1989	15	3,646	1000	English	M	058	$ 1,756
Uncataloged Microform Monographs	GRR	mfm	1985-1989	1985-1989	44	1,146	0	English	H	041	$ 1,058
	TOTALS				844	9,287				903	$ 23,578

MOTION PICTURES, BROADCASTING AND RECORDED SOUND DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Record Manufacturers Catalogs	M/B/RS	bks	1915-1989	1895-1989	600	12,431	1,000	English	L	4.1	$ 625,000
Nitrate Film	M/B/RS	fni	1943-1989	1895-1951	5,655	113,090	10,000	English	H	151.2	$ 3,506,293
16 mm 1200 ft Film (accessioned)	M/B/RS	fsf	1950-1989	1900-1989	10,325	30,901	1,200	English	H	61.2	$ 2,054,262
16 mm 1600 ft Film (accessioned)	M/B/RS	fsf	1950-1989	1900-1989	6,084	18,059	400	English	H	36.0	$ 1,210,473
16 mm 2000 ft Film (accessioned)	M/B/RS	fsf	1950-1989	1900-1989	129	371	18	English	H	.8	$ 25,666
16 mm 400 ft Film (accessioned)	M/B/RS	fsf	1940-1989	1910-1989	8,096	24,137	100	English	H	48.6	$ 1,630,676
16 mm 800 ft Film (accessioned)	M/B/RS	fsf	1950-1989	1900-1989	7,947	23,392	600	English	H	47.1	$ 1,581,135
35 mm 1000 ft Film (accessioned)	M/B/RS	fsf	1952-1989	1895-1989	21,522	64,658	0	English	H	127.7	$ 4,287,985
35 mm 2000 ft Film (accessioned)	M/B/RS	fsf	1952-1989	1895-1989	21,740	65,221	3,000	English	H	128.8	$ 4,325,390
65-70 mm Film	M/B/RS	fsf	1957-1989	1957-1989	7	19	3		H	.1	$ 1,393
AFI: Zouary, Maurice	M/B/RS	fsf	1969-1969	1922-1940	251	750	0	English	L	1.6	$ 51,506
AFI: ?	M/B/RS	fsf	197?-197?	197?-197?	151	450	0	English	L	1.0	$ 39,984
AFI: Taylor, Elizabeth	M/B/RS	fsf	1984-1984	1956-1958	2	33	0	English	M	0	$ 467
AFI: Twentieth-Century Fox	M/B/RS	fsf	1974-1974	1941-1969	142	424	0	English	L	9	$ 29,138
AFI: Byron Motion Picture Lab	M/B/RS	fsf	197?-197?	196?-197?	1	4,312	0	English	L	6	$ 9,211
Abbott and Costello Collection	M/B/RS	fsf	198?-198?	193?-195?	10	25	0	English	M	.1	$ 2,041
Chaney, Paul (Mrs.) Collection	M/B/RS	fsf	?-?	?-?	901	2,700	0	English	L	6.0	$ 184,906
Fomeen, Basil Collection	M/B/RS	fsf	1983-1983	1933-1945	1	14	0	English	H	0	$ 227
Fox Movietone News	M/B/RS	fsf	197?-197?	197?-197?	1	168	0	English	H	0	$ 549
GIST	M/B/RS	fsf	1974-1974	1920-1930	18	18	0	English	L	1	$ 3,619

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Granik, Theodore Collection	M/B/RS	fsf	1972-1972	1956-1968	194	580	0	English	L	1.2	$ 39,810
Instituto Luce	M/B/RS	fsf	1950-1959	1930-1943	125	375	0	Italian	H	.8	$ 25,468
KYW - TV	M/B/RS	fsf	1977-1977	1949-1970	2	27,126	0	English	L	3.6	$ 57,091
Luce, Clare Booth Collection	M/B/RS	fsf	1969-1970	1954-1954	31	143	0	English	H	.2	$ 6,467
MGM News of the Day	M/B/RS	fsf	1954-1967	1953-1966	714	2,139	0	English	H	4.5	$ 146,528
Marshall, George Collection	M/B/RS	fsf	1969-1969	1900-1933	1	125	0	English	H	.0	$ 460
Marx, Groucho Collection	M/B/RS	fsf	1988-1988	1951-1965	327	490	0	English	L	2.0	$ 66,084
Mead/South Pacific Ethnographic Archives (Mead, Margaret)	M/B/RS	fsf	1981-1981	1928-1970	1	647	0	English	H	.1	$ 1,551
Moral Re-Armament	M/B/RS	fsf	197?-197?	1936-1966	1	1067	0	English	L	.2	$ 2,440
N.E.T. Collection 2 & 3	M/B/RS	fsf	1979-1986	1970-1978	14,002	42,688	0	English	H	88.6	$ 2,875,055
NBC-TV	M/B/RS	fsf	1987-1987	1948-1963	20,629	45,000	0	English	H	128.2	$ 4,113,751
New York Bar Association	M/B/RS	fsf	197?-197?	197?-197?	1	42	0	English	M	.0	$ 287
News (Miscellaneous)	M/B/RS	fsf	?-?	1928-1956	47	47	0	English	H	.3	$ 9,449
Office of Alien Property: Japanese	M/B/RS	fsf	1963-1963	1930-1950	1	231	0	Japanese	H	.0	$ 682
Paramount Newsreel	M/B/RS	fsf	1970-1972	1955-1956	40	119	0	English	H	.3	$ 8,207
Piccoli Collection	M/B/RS	fsf	197?-197?	197?-197?	1	143	0	Italian	L	.0	$ 498
Ribicoff, Abraham Collection	M/B/RS	fsf	1981-1981	1965-1966	1	364	0	English	M	.1	$ 959
Sayers, Frank Collection	M/B/RS	fsf	1984-1984	1950-1970	1	10	0		L	.0	$ 219
Schwartz, Bernard A. Collection	M/B/RS	fsf	1979-1979	1960-1979	1,508	1,508	0	English	M	9.1	$ 303,183
Standard Oil Collection	M/B/RS	fsf	1981-1981	1981-1981	3	2	0	English	L	.0	$ 601
Triangle Labs Collection	M/B/RS	fsf	1982-1982	1919-1968	1	2,208	0	English	L	.3	$ 4,813
U.S. Capital Historical Society	M/B/RS	fsf	1979-1979	1976-1976	1	200	0	English	H	.0	$ 616
U.S. Capitol Historical Society	M/B/RS	fsf	1978-1978	1921-1969	1	1,067	0	English	H	.1	$ 2,528
UFA News	M/B/RS	fsf	1950-1959	1939-1945	367	366	0	German	H	2.2	$ 73,783

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS		STAFF COST
Unidentified Films	M/B/RS	fsf	?-?	?-?	109	328	0		L	.7	$	22,372
Universal Newsreel	M/B/RS	fsf	1952-1968	1951-1967	432	1,296	0	English	H	2.7	$	88,660
Vietnam Collection	M/B/RS	fsf	1975-1975	1964-1965	56	55	0	English	H	.3	$	11,257
Wright, Harry Collection	M/B/RS	fsf	1989-1989	1970-1960	500	1,201	0		L	3.0	$	101,990
8 Track Audio Tapes	M/B/RS	otr	1965-1980	1965-1975	1,633	1,633	0		L	2.4	$	48,990
Amertape	M/B/RS	otr	1950-1950	1943-1948	2	144	0	English	H	.7	$	18,213
Bekesy Collection	M/B/RS	otr	1977-1977	1977-1977	1	44	0	English	L	.1	$	2,960
Berger Collection: Papers and Photographs	M/B/RS	otr	1988-1989	1895-1930	126	650	0	Russian	H	.4	$	13,000
Berliner Collection: Papers and Artifacts	M/B/RS	otr	1980-1986	1885-1935	1	1,200	0	English	H	.1	$	1,300
Brooke, Edward W. Collection	M/B/RS	otr	1979-1979	1966-1978	1	355	0	English	M	.1	$	460
Chronological Master Source File	M/B/RS	otr	1977-1977	1977-1977	1	3	0		L	.0	$	300
Documentation for Moving Image: Photographs, Clippings, etc	M/B/RS	otr	1909-1989	1909-1989	6	444,060	30,000	English	H	15.1	$	449,100
Godfrey, Arthur Collection	M/B/RS	otr	1980-1980	1950-1970	338	337	0	English	L	1.0	$	33,700
Memorex	M/B/RS	otr	1977-1977	1977-1977	1	540	0	English	L	1.2	$	36,326
Moving Image Copyright Descriptive Materials	M/B/RS	otr	1912-1989	1950-1989	1	108,612	20,000	English	H	3.7	$	109,798
Music Box Disc Collection	M/B/RS	sds	1920-1989	1900-1989	1,894	1,894	5		L	4.2	$	127,409
Paper Prints	M/B/RS	otr	1894-1912	1894-1912	1	2,994	0	English	M	12.6	$	382,573
Piano Rolls	M/B/RS	otr	1900-1989	1890-1989	4,892	4,892	15		L	10.7	$	329,084
Processing Section Arrearage	M/B/RS	otr	1985-1989	1900-1989	13,212	40,836	10,000	English	H	24.4	$	792,720
V-DEO Collection	M/B/RS	otr	1977-1977	1977-1977	1	4,550	0	English	L	8.4	$	273,000
Video Discs (accessioned)	M/B/RS	otr	1984-1989	1984-1989	1,843	1,843	500	English	M	5.6	$	187,765
Walsh Collection: Papers, Photographs, Books, Machines	M/B/RS	otr	1962-1988	1895-1987	51	50,000	0	English	H	3.6	$	105,000
Wire Recordings	M/B/RS	otr	1960-1989	1938-1960	300	300	5	English	L	1.4	$	37,944

COLLECTION NAME	LOC DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Cassettes (Audio)	M/B/RS	scs	1969-1989	1965-1989	44,524	44,524	10,000	English	M	82.4	$ 2,671,440
Cylinders	M/B/RS	scy	1902-1989	1890-1950	16,859	16,829	200	English	H	38.3	$ 1,205,798
Federal Cylinder Project	M/B/RS	scy	?-?	?-?	10,232	10,231	0	English	H	22.0	$ 733,051
16" Vinyl Discs	M/B/RS	sds	1938-1989	1938-1970	117,420	117,420	6,000		H	258.3	$ 7,073,380
45 RPM Recordings	M/B/RS	sds	1948-?	1948-?	116,532	116,532	10,000		L	256.4	$ 7,019,887
78 RPM Sound Recordings	M/B/RS	sds	1905-1989	1895-1950	161,494	201,868	6,000	English	M	957.0	$32,130,846
Acetate Discs (LWO/copied)	M/B/RS	sds	1935-1989	1932-1975	60,040	389,000	25,000	English	H	855.8	$ 4,534,608
Acetate Discs, Miscellaneous	M/B/RS	sds	1935-1989	1932-1975	1,000	2,326	0	English	H	5.2	$ 63,939
Alexander, A.L. Acetate Discs	M/B/RS	sds	197?-197?	1935-1950	1	656	0	English	L	1.4	$ 1,887
CCNY Poetry Collection	M/B/RS	sds	1967-1967	1938-1953	94	93	0	English	M	.2	$ 4,659
Chesterfield Collection	M/B/RS	sds	197?-197?	1937-1942	901	1,859	0	English	M	4.1	$ 56,949
Compact Discs	M/B/RS	sds	1985-1989	1985-1989	9,727	9,727	7,000		M	21.4	$ 585,954
Goldin, David	M/B/RS	sds	?-?	?-?	14,784	14,784	0		M	25.3	$ 849,341
Greatest Story Ever Told	M/B/RS	sds	1975-1975	1947-1947	1	1,000	0	English	L	2.2	$ 2,790
LP Sound Recordings	M/B/RS	sds	1948-1989	1948-1989	376,343	535,080	25,000		H	1177.0	$23,113,613
Lawrence, A.F.R. Collection	M/B/RS	sds	1968-1972	192?-193?	801	804	0	English	H	1.8	$ 48,260
LeMay Collection	M/B/RS	sds	196?-196?	195?-195?	2	681	0	English	H	1.5	$ 2,014
McBride, Mary Margaret Collection	M/B/RS	sds	1978-1980	1937-1954	2	4,765	0	English	H	10.5	$ 13,409
NBC--Radio Collection	M/B/RS	sds	1978-1978	1933-1970	48,001	144,280	0	English	H	317.4	$ 3,173,607
Office of War Information--Acetate Discs	M/B/RS	sds	1950-1950	1942-1945	10,001	40,000	0		H	88.0	$ 686,157
U.S. Foreign Language Institute--Chinese	M/B/RS	sds	1950-1950	1940-1945	2	420	0	Chinese	L	.9	$ 1,286
U.S. Foreign Language Institute--German	M/B/RS	sds	1950-1950	1940-1945	2	744	0	German	L	1.6	$ 2,191
U.S. Foreign Language Institute--Japanese	M/B/RS	sds	1950-1950	1940-1945	2	600	0	Japanese	L	1.3	$ 1,789

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
U.S. Foreign Language Institute--Korean	M/B/RS	ads	1950-1950	1940-1945	2	92	0	Korean	L	.2	$ 372
U.S. Foreign Language Institute--Norwegian	M/B/RS	ads	1950-1950	1940-1945	2	72	0	Norwegian	L	1	$ 316
U.S. Foreign Language Institute--Russian	M/B/RS	ads	1950-1950	1940-1945	2	576	0	Russian	L	1.3	$ 1,722
U.S. Foreign Language Institute--Spanish	M/B/RS	ads	1950-1950	1940-1945	2	300	0	Spanish	L	.7	$ 952
United Nations Collection	M/B/RS	ads	1970-1982	1946-1963	101	46,452	0	English	H	102.2	$ 135,403
10.5" Tapes	M/B/RS	str	1960-1989	1890-1989	66,175	49,600	3,000	English	H	113.0	$ 3,801,754
8" and Smaller Audio Tapes	M/B/RS	str	1950-1989	1900-1989	14,010	28,435	1,900	English	H	21.0	$ 2,561,606
Marlboro Collection	M/B/RS	str	1980-1989	1966-1989	700	2,916	100	English	H	1.7	$ 48,408
Moral Re-Armament	M/B/RS	str	1977-1977	1936-1966	1	2,515	0	English	L	1.9	$ 234,825
National Public Radio	M/B/RS	str	1981-1989	1972-1989	16,731	16,730	1,200	English	H	12.4	$ 1,562,080
Phonogram Collection	M/B/RS	str	1982-1982	1960-1965	1	160	0		L	.1	$ 14,939
Ribicoff, Abraham: Oral History	M/B/RS	str	1977-1977	1977-1977	1	13	0	English	M	.0	$ 1,214
Swann Collection	M/B/RS	str	1989-1989	1977-1977	1	264	0		L	.2	$ 24,650
VOA tapes	M/B/RS	str	1965-1989	1945-1989	19,001	47,600	1,500	English	H	35.2	$ 4,444,412
3/4" video tape (accessioned)	M/B/RS	vcs	1980-1989	1900-1989	42,106	63,069	7,000	English	H	200.0	$ 6,557,284
ABC - TV News	M/B/RS	vcs	1987-1987	1975-1980	1,414	1,414	0	English	M	2.2	$ 73,506
Foreign World TV News	M/B/RS	vcs	1987-1989	1987-1989	456	455	200		H	1.4	$ 47,306
LVR Video Tapes	M/B/RS	vcs	1965-1979	1965-1979	522	783	0	English	H	2.5	$ 81,409
NBC-TV News	M/B/RS	vcs	1987-1987	1975-1980	2,044	2,044	0	English	M	3.3	$ 106,257
U.S. Naval Academy (Russian TV News)	M/B/RS	vcs	1987-1989	1987-1989	2,180	2,180	1,000	Russian	H	6.9	$ 226,655
U.S. Senate Floor Sessions	M/B/RS	vcs	1988-1989	1988-1989	1,822	1,822	500	English	H	5.8	$ 189,433
Vanderbilt University TV News	M/B/RS	vcs	1982-1986	1968-1986	8,878	8,878	600	English	H	14.0	$ 461,523
1" video tape (accessioned)	M/B/RS	vrl	1969-1989	1900-1989	2,810	4,186	1,114	English	H	13.3	$ 435,218

COLLECTION NAME	LOC DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST	
1/2" video tape (accessioned)	M/B/RS	vrl	1980-1989	1900-1989	9,534	14,272	4,000	English	H	45.2	$	1,483,860
2" video tape (accessioned)	M/B/RS	vrl	1962-1989	1900-1989	725	927	200	English	H	2.9	$	96,380
Fox–Tonende–Worchenschou	M/B/RS	vrl	1968-1968	1964-1968	128	128	0	German	H	7	$	22,712
John F. Kennedy Library Collection	M/B/RS	vrl	1986-1986	1960-1964	25	25	0	English	H	1	$	2,599
Mirkoff, Carolyn Collection	M/B/RS	vrl	1987-1987	1948-1974	21	93	0	English	L	3	$	9,669
U.S. House Floor Sessions	M/B/RS	vrl	1986-1989	1986-1989	285	285	500	English	H	9	$	29,631
Video Discs (Unaccessioned)	M/B/RS	vrs	1981-1984	1939-1980	904	904	900	English	H	2.9	$	93,989
	TOTALS				1,326,364	3,107,040				5,680.5	$	137,211,311

MUSIC DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Bloch, Ernest Collection	Mus	mss	1925-1980	1919-1959	2	11,036	50	French	L	.376	$ 11,146
Bound Music Books	Mus	bks	1870-1928	1870-1928	2,709	2,709	0	English	L	.092	$ 2,736
Coolidge, Elizabeth Sprague Collection	Mus	mss	1935-1988	1924-1988	2	124,000	10	English	H	4.225	$ 125,240
Copyright Deposits	Mus	mss	1886-1940	1886-1940	0	2,340,000	0	English	M	79.733	$ 2,363,400
Duke, Vernon	Mus	mss	1979-1979	1925-1969	2	10,000	0	English	M	.341	$ 10,100
Edison Sheet Music Collection	Mus	msc	1978-1978	1900-1920	2	13,430	0	English	M	.458	$ 13,564
Gershwin, George and Ira	Mus	mss	1953-1989	1920-1983	2	6,500	200	English	H	.221	$ 6,565
Grofe, Ferde Collection	Mus	mss	1975-1981	1900-1970	2	15,000	0	English	H	.511	$ 15,150
Hammerstein, Oscar Collection	Mus	mss	1960-1970	1927-1959	2	7,000	0	English	M	.239	$ 7,070
Heifetz, Jascha Collection	Mus	mss	1989-1989	1910-1987	2	7,700	0	English	H	.265	$ 7,777
Herbert, Victor Collection	Mus	mss	1950-1970	1891-1924	2	13,000	0	English	H	.443	$ 13,130
Kern, Jerome Collection	Mus	mss	1988-1988	1900-1950	2	10,000	10	English	M	.341	$ 10,100
Koussevitzky, Serge Archives	Mus	mss	1950-1978	1900-1978	2	160,000	10	Russian	H	5.452	$ 161,600
Kreisler, Fritz Collection	Mus	mss	1955-1971	1890-1952	2	250	0	German	H	.009	$ 252
MacDowell, Edward and Marion Collection	Mus	mss	1930-1972	1880-1903	2	24,000	10	English	H	.818	$ 24,240
Moldenhauer, Hans Collection	Mus	mss	1988-1988	1400-1980	2	6,000	20	European lan	H	.204	$ 6,060
National Negro Opera Company	Mus	mss	?-?	1930-1950	2	10,000	5	European lan	M	.341	$ 10,100
Other Music Division Collections	Mus	otr	1900-1989	0900-1989	1,000	3,000,000	18000	English	M	102.222	$ 3,030,000
Rodgers, Richard Collection	Mus	mss	1950-1970	1925-1979	2	1,300	20	English	M	.044	$ 1,313
Schmidt, Arthur P. Collection	Mus	mss	1959-1959	1876-1907	2	125,000	0	English	M	4.259	$ 126,250
Slonimsky, Nicolas Collection	Mus	mss	1969-1969	1923-1969	2	83,000	10	English	M	2.828	$ 83,830
Sousa, John Philip Collection	Mus	mss	1965-1986	1870-1930	2	500	2	English	H	.017	$ 505

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Tams-Witmark Collection	Mus	mss	1965-1965	1875-1950	2	3,600	0		H	.123	$ 3,636
Unbound Music Collection	Mus	msc	1870-1925	1870-1945	100	6,240	0	English	L	.213	$ 6,302
Von Tilzer, Harry Collection	Mus	mss	1983-1983	1900-1950	2	3,500	0	English	M	.119	$ 3,535
Whittall, Gertrude Clarke Collection	Mus	mss	1934-1989	1700-1989	2	6,620	5	English	H	.226	$ 6,686
	TOTALS				3,853	5,990,385				204.120	$ 6,050.287

ORDER DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Dutch Material	Ord	bks	1989-1989	1988-1989	178	178	0	Dutch	H	.679	$ 18,278
French Material	Ord	bks	1989-1989	1988-1989	969	969	0	French	H	3.695	$ 99,506
German Material	Ord	bks	1989-1989	1988-1989	1,173	1,173	0	German	H	4.473	$ 120,455
Vietnamese Material	Ord	bks	1989-1989	1989-1989	156	156	0	Vietnamese	L	.595	$ 16,019
Monographic Series on Subscription Order	Ord	bks	1989-1989	1987-1989	1,371	1,371	0	German	M	5.229	$ 140,787
	TOTALS				3,847	3,847				14.670	$ 395,045

OVERSEAS OPERATIONS DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Books Awaiting Fiching	Ov Op	bks	1979-1989	1979-1989	7,900	7,900	0		H	34.885	$ 681,037
Indonesian Maps	Ov Op	mps	1988-1988	1988-1988	14	14	0	Indonesian	M	.028	$ 855
Serials Awaiting Fiching	Ov Op	per	1979-1989	1979-1989	35	35	0	Indonesian	H	.214	$ 4,713
Uncataloged: Foreign Offices I	Ov Op	per	1979-1989	1920-1989	692	692	0		H	4.238	$ 73,185
Uncataloged: Foreign Offices II	Ov Op	bks	1982-1989	1950-1989	5,595	5,595	0	Arabic	H	28.456	$ 555,532
Uncataloged Sound Cassettes	Ov Op	scs	1987-1989	1987-1989	250	250	25	Indonesian	L	.284	$ 9,125
	TOTALS				14,486	14,486				68.105	$ 1,344,477

PERFORMING ARTS LIBRARY

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Kennedy Center Playbill Collection	PAL	pmp	1979-1989	1971-1989	266	533	300	English	h	1	$ 1,370
Lon Tuck Collection of LP's	PAL	sds	1987-1987	1950-1987	3,837	3,837	0		h	8.7	$ 288,580
Miscellaneous Record Collection	PAL	sds	1980-1989	1950-1989	364	364	5	English	l	.8	$ 27,376
Miscellaneous Video Collection	PAL	vcs	1979-1989	1975-1989	138	138	10	English	m	.4	$ 14,059
White House Record Library	PAL	sds	1979-1981	1965-1981	1,440	1,440	0	English	h	3.3	$ 108,302
	TOTALS				6,045	6,312				13.3	$ 439,687

PRINTS AND PHOTOGRAPHS DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
American National Red Cross Collection	P&P	ppr	1944-1952	1900-194	10	88,720	0		M	23.0	$ 639,671
Brodie (Howard) Courtroom Drawings	P&P	drw	1969-1977	1965-1977	7	635	0		M	.2	$ 4,578
Copy Negatives and Transparencies	P&P	png	1970-1989	1400-1989	34,000	34,000	3,000		H	151.0	$ 4,979,640
Daguerreotypes (Brady and American Colonization Society)	P&P	ppr	1920-1965	1840-1859	4	600	0		H	.2	$ 4,974
General Unprocessed Visual Materials	P&P	otr	1898-1989	1800-1975	204,849	3,442,847	567,000		M	771.0	$ 25,398,540
Japanese Prints	P&P	prt	1905-1950	1800-1910	1,400	1,400	0			8.0	$ 273,392
Look Collection	P&P	ppr	1972-1972	1933-1970	2	5,000,000	0	English	H	1541.0	$ 41,450,000
Manuscript Division Transfers	P&P	otr	1960-1986	1890-1986	1,352	132,646	5,700		M	20.0	$ 549,818
New York World Telegram and Sun	P&P	ppr	1967-1967	1920-1966	15,769	1,576,800	0	English	H	74.0	$ 2,000,000
PAGA 7	P&P	prt	1890-1980	1890-1980	47,574	47,574	0	English	L	211.0	$ 6,967,688
Panoramas	P&P	ppr	1910-1930	1910-1930	100	5,028	0	English	M	1.3	$ 36,252
Posters	P&P	prt	1940-1989	1890-1989	72,391	72,391	1,200	English	H	311.0	$ 10,245,024
Siere	P&P	ppr	1890-1920	1890-1920	22,000	142,590	0	English	M	27.0	$ 771,055
Trademark Registration Drawings	P&P	drw	1980-1980	1870-1915	2	82,000	0	English	M	25.0	$ 679,780
U.S. News and World Report	P&P	ppr	1983-1983	1965-1986	2	1,063,358	0	English	H	4.7	$ 101,000
Work of Charles and Ray Eames	P&P	ppr	1985-1988	1930-1988	7,584	748,100	0	English	H	142.0	$ 4,067,556
	TOTALS				407,046	12,438,689				3310.4	$ 98,168,968

RARE BOOK DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Almanacs--American	Rare Bk	bks	1815-1989	1600-1899	3,400	3,400	2	English	M	20.206	$ 625,056
Almanacs--British, Canadian, etc	Rare Bk	bks	1815-1989	1500-1850	440	440	2	English	L	2.615	$ 80,890
Almanacs--Foreign	Rare Bk	bks	1815-1989	1500-1850	232	232	2	German	L	1.379	$ 42,651
Amateur Publications	Rare Bk	bks	1935-1935	1900-1935	112	112	0	English	L	.666	$ 20,590
American Imprints	Rare Bk	bks	1815-1989	1640-1800	4,613	4,613	7	English	H	27.415	$ 848,054
Anthony, Susan B. Collection	Rare Bk	bks	1903-1903	1800-1899	187	187	0	English	M	1.111	$ 34,378
Armed Services Edition Collection	Rare Bk	bks	1943-1951	1943-1947	1,317	1,317	0	English	L	3.913	$ 121,059
Avrich, Paul Anarchism Collection	Rare Bk	bks	1986-1989	1800-1989	1,000	1,000	30	English	H	5.943	$ 183,840
Batchelder, John Davis Collection	Rare Bk	bks	1936-1936	1400-1936	1,600	1,600	0	English	M	9.509	$ 294,144
Bible Collection	Rare Bk	bks	1815-1989	1500-1989	350	350	6	English	M	2.080	$ 64,344
Big Little Book Collection	Rare Bk	bks	1930-1940	1930-1940	520	520	2	English	L	1.545	$ 47,798
Bitting, Katherine Golden Collection	Rare Bk	bks	1939-1944	1400-1944	200	200	0	English	M	1.174	$ 36,308
Bonaparte Collection	Rare Bk	bks	?-1944	1700-1877	230	230	0		L	.683	$ 21,142
Carpenter, William Montelle--Kipling Collection	Rare Bk	bks	1941-1941	1836-1941	350	350	0	English	H	2.080	$ 64,344
Catalog Reserve Collection	Rare Bk	bks	1946-1959	1500-1959	1,000	1,000	0	English	M	5.943	$ 183,840
Chandler, Lloyd H.--Kipling Collection	Rare Bk	bks	1937-1938	1865-1938	1,000	1,000	0	English	H	5.943	$ 183,840
Classified Collection	Rare Bk	bks	1815-1978	1400-1978	4,800	4,800	0	English	M	28.526	$ 882,432
Colt, H. Dunscombe--Kipling Collection	Rare Bk	bks	1985-1985	1865-1985	2,000	2,000	0	English	H	11.886	$ 367,680
Confederate States of America Collection	Rare Bk	bks	1860-1989	1860-1865	120	120	2	English	M	.713	$ 22,061
Copyright Paperback Collection	Rare Bk	bks	1900-1989	1900-1989	11,657	11,657	3,000	English	L	34.639	$ 1,071,511
Catt, Carrie Chapman Collection	Rare Bk	bks	1938-1938	1800-1938	750	750	0	English	M	4.457	$ 137,880

COLLECTION NAME	LOC DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Darrow, Clarence Collection	Rare Bk	bks	1938-1938	1920-1938	27	27	0	English	L	160	$ 4,964
Dell Paperback Collection	Rare Bk	bks	1976-1976	1943-1976	6,501	6,501	0	English	L	19.318	$ 597,572
Dime Novel Collection	Rare Bk	bks	1860-1978	1860-1900	20,000	20,000	0	English	L	59.430	$ 1,838,400
Douglas, Lester Collection	Rare Bk	bks	1959-1962	1930-1960	87	87	0	English	L	517	$ 15,994
Early Bulgarian Imprint Collection	Rare Bk	bks	1949-1949	1806-1877	635	635	0	Bulgarian	L	3.774	$ 116,738
Early Printing Collection	Rare Bk	bks	1815-1989	1501-1520	540	540	0	Latin	M	3.209	$ 99,274
English Printing Collection	Rare Bk	bks	1815-1989	1475-1640	1,550	1,550	0	English	M	9.212	$ 284,952
Evening Star Collection	Rare Bk	bks	1962-1977	1900-1962	71	71	0	English	L	422	$ 13,052
Fabyan, George Collection	Rare Bk	bks	1940-1940	1500-1940	1,371	1,371	0	Latin	M	8.148	$ 252,045
Feinberg-Whitman Collection	Rare Bk	bks	1969-1987	1819-1987	300	300	0	English	H	1.783	$ 55,152
Finkelstein, Herman Collection	Rare Bk	bks	1980-1980	1900-1980	51	51	0	English	H	303	$ 9,376
Franklin, Benjamin Collection	Rare Bk	bks	1882-1882	1706-1882	75	75	0	English	M	446	$ 13,788
Guiney, Louise Imogen Collection	Rare Bk	bks	1962-1977	1800-1920	16	16	0	English	L	095	$ 2,941
Harrisse, Henry Collection	Rare Bk	bks	1915-1915	1400-1915	15	15	0	English	H	089	$ 2,758
Hawaiian Collection	Rare Bk	bks	1927-1927	1800-1927	190	190	0	Hawaiian	H	1.129	$ 34,930
Hersholt, Jean Collection	Rare Bk	bks	1950-1959	1805-1959	85	85	0	English	M	505	$ 15,626
Houdini, Harry Collection	Rare Bk	bks	1927-1927	1800-1927	2,200	2,200	0	English	M	13.075	$ 404,448
Houghton, Carolyn Wells-Whitman Collection	Rare Bk	bks	1942-1942	1819-1942	31	31	0	English	H	181	$ 5,607
Incunabula Collection (LC Original & Vollbehr Collections)	Rare Bk	bks	1815-1989	1450-1500	3,000	3,000	0	Latin	H	17.829	$ 551,520
James, Henry Collection	Rare Bk	bks	1922-1922	1843-1922	37	37	0	English	M	220	$ 6,802
Library of Congress Archival Collection	Rare Bk	bks	1962-1989	1900-1989	2,857	2,857	100	English	M	16.979	$ 525,231
Lincoln Collection	Rare Bk	bks	1928-1960	1809-1883	24	24	0	English	M	143	$ 4,412
Luther, Martin Collection	Rare Bk	bks	1938-1938	1500-1599	325	325	0	German	H	1.931	$ 59,748
M&S American Extremism Collection	Rare Bk	bks	1981-1981	1947-1977	10,000	10,000	0	English	L	29.715	$ 919,200

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Manuscript Plays	Rare Bk	bks	1870-1989	1870-1940	2,680	2,680	0	English	M	7.964	$ 246,346
McGuffey Reader Collection	Rare Bk	bks	1937-1937	1836-1900	200	200	0	English	L	1.189	$ 36,768
McManus–Young Collection	Rare Bk	bks	1955-1955	1500-1955	400	400	0	English	M	2.674	$ 82,728
Miniature Book Collection	Rare Bk	bks	1815-1978	1800-1899	200	200	0	English	L	1.189	$ 36,768
National American Woman Suffrage Association Collection	Rare Bk	bks	1938-1938	1800-1838	670	670	0	English	M	3.982	$ 123,173
Newton, Edward A. Collection	Rare Bk	bks	1949-1949	1900-1940	30	30	0	English	L	.178	$ 5,515
Old Classification Collection	Rare Bk	bks	1815-1978	1700-1899	2,850	2,850	0	English	M	16.937	$ 523,944
Pennell, Elizabeth Robins Collection	Rare Bk	bks	1926-1926	1500-1900	431	431	0	French	M	2.561	$ 79,235
Pre-1801 Imprint Collection	Rare Bk	bks	1980-1989	1600-1800	36,292	36,292	300	English	H	215.862	$ 6,671,921
Reformation Collection	Rare Bk	bks	1890-1938	1500-1599	110	110	0	German	H	.654	$ 20,222
Reserve Storage Collection	Rare Bk	bks	1860-1940	1530-1930	4,750	4,750	0	English	M	28.229	$ 873,240
Reserve Storage Drama Collection	Rare Bk	bks	1870-1920	1870-1920	5,831	5,831	0	English	M	34.653	$ 1,071,971
Richardson Collection	Rare Bk	bks	1920-1944	1700-1899	400	400	0	English	L	2.377	$ 73,536
Rogers, Bruce Collection	Rare Bk	bks	1959-1959	1895-1957	90	90	0	English	L	.535	$ 16,546
Roosevelt, Franklin Delano Collection	Rare Bk	bks	1953-1954	1900-1945	6	6	0	English	M	.036	$ 1,103
Rosenwald, Lessing J. Collection (Edith Rosenwald Gift)	Rare Bk	bks	1989-1989	1801-1984	261	261	0	English	H	1.551	$ 47,982
Russian Imperial Collection	Rare Bk	bks	1931-1932	1600-1910	1,500	1,500	0	Russian	H	8.914	$ 275,760
Spanish American Imprint Collection	Rare Bk	bks	1815-1989	1600-1820	200	200	0	Spanish	H	1.189	$ 36,768
Special Format Collection	Rare Bk	bks	1900-1989	1900-1989	4,597	4,597	300	English	L	27.320	$ 845,112
State Papers, House & Senate Journals, Copyright Records	Rare Bk	bks	1979-1982	1810-1900	240	240	0	English	L	1.426	$ 44,122
Stone and Kimball Collection	Rare Bk	bks	1893-1904	1893-1904	45	45	0	English	M	.267	$ 8,273
Stuart, Jesse Collection	Rare Bk	bks	1981-1981	1930-1980	41	41	0	English	M	.244	$ 7,537
Thacher, John Boyd Collection	Rare Bk	bks	1910-1929	1300-1899	950	950	0	English	M	5.646	$ 174,648
Theodore Roosevelt Hunting Library	Rare Bk	bks	1963-1964	1500-1919	50	50	0	English	M	.297	$ 9,192

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Third Reich Collection	Rare Bk	bks	1946-1946	1900-1946	1,250	1,250	0	German	M	7.429	$ 229,800
Toner, Joseph Meredith Collection	Rare Bk	bks	1882-1882	1700-1882	3,500	3,500	0	English	L	20.800	$ 641,440
Unclassified Collection	Rare Bk	bks	1815-1978	1800-1978	3,400	3,400	0	English	M	20.206	$ 625,056
Wagner-Camp Collection	Rare Bk	bks	1844-1928	1800-1903	30	30	0	English	H	.178	$ 5,515
Wertham, Frederic Collection	Rare Bk	bks	1987-1987	1800-1987	10,000	10,000	0	English	L	59.430	$ 1,838,400
William Morris and Kelmscott Press Collection	Rare Bk	bks	1910-1910	1870-1920	20	20	0	English	M	.119	$ 3,677
Woodrow Wilson Library	Rare Bk	bks	1946-1946	1800-1924	7,000	7,000	0	English	M	41.601	$ 1,286,880
YA 5000	Rare Bk	bks	1800-1930	1800-1930	2,000	2,000	0	English	L	5.943	$ 183,840
YA Collection	Rare Bk	bks	1927-1930	1500-1899	4,552	4,552	0		L	27.052	$ 836,840
Yudin Collection (Rare Books)	Rare Bk	bks	1906-1907	1700-1899	4,000	4,000	0	Russian	H	23.772	$ 735,360
Authors' Manuscripts Collection	Rare Bk	mss	1951-1960	1879-1960	19	19	0	English	L	.098	$ 2,103
Avrich, Paul Collection (Papers)	Rare Bk	mss	1986-1989	1800-1989	10	9,280	100	English	M	.316	$ 9,373
Bitting, Katherine Golden Collection--Periodicals, etc	Rare Bk	per	1939-1944	1900-1940	1,381	1,381	0	English	L	7.136	$ 152,821
Bound Pamphlet Collection	Rare Bk	pmp	1867-1930	1700-1899	27,000	27,000	0	English	H	69.760	$ 1,493,910
Broadside Collection	Rare Bk	brd	1815-1989	1500-1989	28,526	28,526	22	English	H	147.405	$ 3,156,687
Broadside Songs	Rare Bk	brd	1815-1978	1800-1899	4,525	4,525	0	English	L	23.383	$ 500,737
Documents of the First Fourteen Congresses	Rare Bk	mss	1904-1904	1789-1817	8,000	8,000	0	English	L	20.670	$ 442,640
Early Copyright Records Collection	Rare Bk	lvs	1790-1987	1790-1897	100	44,647	0	English	M	.259	$ 5,533
Elliott, Harrison Collection	Rare Bk	mss	1954-1954	1900-1954	10	10,600	0	English	L	.361	$ 10,706
Houdini, Harry Collection--Periodicals & Pamphlets	Rare Bk	per	1927-1927	1800-1927	2,592	2,592	0	English	M	13.394	$ 286,831
James Madison Collection	Rare Bk	pmp	?-1944	1785-1830	240	240	0	English	M	1.240	$ 26,558
Juvenile Collection	Rare Bk	pmp	1815-1989	1700-1989	10,000	10,000	40	English	M	51.674	$ 1,106,600
McManus-Young Collection--Periodicals and Pamphlets	Rare Bk	per	1955-1955	1900-1926	1,619	1,619	0	English	L	4.183	$ 89,579

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Medieval & Renaissance Manuscripts Collection	Rare Bk	mss	1815-1989	1150-1600	158	158	1	Latin	M	816	$ 17,484
Murray, Daniel Pamphlet Collection	Rare Bk	pmp	1926-1926	1850-1920	400	400	0	English	H	1.033	$ 22,132
Stern, Alfred Whital Collection of Lincolniana	Rare Bk	pmp	1953-1953	1809-1989	3,500	3,500	10	English	M	18.086	$ 387,310
Theatre Playbills	Rare Bk	otr	?-1952	1800-1899	3,485	3,485	0		M	18.008	$ 385,650
World War II Underground Newspapers Collection	Rare Bk	per	1978-1982	1939-1945	198	198	0	French	L	1.023	$ 21,911
YA Pamphlet Collection	Rare Bk	pmp	1890-1930	1800-1910	25,000	25,000	0	English	L	64.593	$ 1,383,250
	TOTALS				301,205	365,612				1,376.881	$ 38,371,405

SCIENCE AND TECHNOLOGY DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Foreign Monographic Series	Sci	bks	1950-1989	1950-1989	30,000	50,000	2,500		H	107.442	$ 2,899,800
	TOTALS				30,000	50,000				107.442	$ 2,899,800

SERIAL RECORD DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Cataloging Arrearage: Known Languages	Ser Rec	per	1984-1989	1980-1989	1,408	1,408	0	English	H	5.410	$ 164,533
Cataloging Arrearage: Unknown Languages	Ser Rec	per	1979-1989	1975-1989	1,548	1,548	100	Malay	L	5.948	$ 180,915
Old Arrearages	Ser Rec	per	1960-1986	1721-1986	15,000	75,000	0	English	M	28.817	$ 876,525
Serials on APIF	Ser Rec	per	1976-1989	1900-1989	4,703	4,703	0			18.070	$ 549,640
	TOTALS				22,659	82,659				58.245	$ 1,771,613

SERIALS AND GOVERNMENT PUBLICATIONS DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
Brittle Serials	Ser	per	1930-1966	1930-1966	185	51,800	0	English	L	0	$ 10,810
Newspapers: Bound Volumes	Ser	per	1801-1974	1704-1989	275	37,113	0	English	H	.5	$ 16,068
Newspapers: Loose Issues (Foreign)	Ser	per	1977-1989	1977-1989	800	800,000	150,000		H	1.5	$ 46,744
Newspapers: Loose Issues (U.S.)	Ser	per	1980-1989	1977-1989	487	100,000	175,000	English	M	.9	$ 28,455
Newspapers: Microfilm	Ser	mfm	1938-1989	1704-1989	44,000	444,450	10,000		H	84.4	$ 2,570,920
Pamphlets	Ser	pmp	?-1950	?-1950	12,400	124,000	0	English	L	47.6	$ 724,532
Pulp Fiction Collection	Ser	bks	1940-1959	1940-1959	13,584	13,584	0	English	L	26.0	$ 793,713
U.S. Information Agency Translations	Ser	bks	1948-1989	1948-1989	30,872	30,872	500		L	59.2	$ 1,803,851
Unbound "Keep" Periodicals Over 2 Years Old	Ser	per	1984-1987	1984-1987	9,908	615,262	100	European	H	42.1	$ 1,972,528
University and Monographic Series	Ser	per	1930-1966	1923-1959	10,000	10,000	300	English	H	19.2	$ 584,300
World War II Agencies	Ser	lvs	1940-1945	1940-1945	7,500	30,000	0	English	L	14.4	$ 438,225
	TOTALS				130,011	2,257,081				295.8	$ 8,990,146

SPECIAL MATERIALS DIVISION

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME-LANG	PRI	STAFF YEARS	STAFF COST
Non-Music Sound Recordings	SpecMat	sds	1978-1989	1960-1989	100	1,181	0	English	H	.043	$ 4,309
Rare Books	SpecMat	bks	1850-1989	1500-1989	1,609	1,609	0	Latin	M	9.562	$ 295,799
Scores: Full Cataloging	SpecMat	msc	1985-1989	1700-1989	2,155	2,155			M	4.932	$ 161,991
Scores: MLC	SpecMat	msc	1984-1989	1960-1989	3,726	3,726	0		L	4.234	$ 135,999
Sound Recordings	SpecMat	sds	1984-1989	1975-1989	886	886	0		M	2.030	$ 66,636
	TOTALS				8,476	9,557				20.801	$ 664,734

COLLECTION NAME	LOC-DIV	FOR	YR-ACQ	VINTAGE	BIB RECS	QTY	GROW	PRIME LANG	PRI	STAFF YEARS	STAFF COST
	GRAND TOTAL:				3,047,120	38,068,838				13,936.318	$ 371,317,347

Mr. **Fazio**. For example, you estimate the total arrearage at 38 million items, over 40 percent of the entire collection.

Overall, the Library added 2.5 million items to its collections in the last full year for which we have no statistics. At that rate, the backlog represents about 15 years of acquisitions.

That is one way to measure the extent of the problem and that measurement, I might add, is nothing short of alarming.

Your report estimates it will take over $600 million in labor costs alone to reduce this backlog by 80 percent.

If space, equipment, and other expenses are added, based on your estimate, we are faced with a staggering figure, $1.2 billion, to only reduce by 80 percent.

Over a 10-year period that would require an average annual appropriation of $120 million per year.

That is about 60 percent of your annual salaries and expense budget. That is for an item that has been running closer to 25 percent of your workload.

Being practical, it may be impossible for the Library, or any organization for that matter, to shift that much in the short run to meet this priority. And your report indicates the arrearage is measured in terms of items in process for longer than a reasonable amount of time so the 38 million is a low figure. The backlog is actually higher, depending upon what criteria we use for a reasonable length of time.

The problem is not so bad in the general collection. There the annual acquisition is 684 thousand items and the arrearage is 4.5 million items, about a 7-year backlog.

In special collections, movies, pictures, music scores, maps, etc., the backlog is 18 years.

I am not confident we can ever completely resolve this problem without a major policy change, but one thing is absolutely clear—this is a serious and first order problem and we cannot neglect it.

We are at a crossroad, to use your term, but our choices and the right road to take seem pretty clear.

Are we going to deal with a deterioration of our basic resource—the informational and intellectual infrastructure of your great institutional—or are we going to further enlarge the Library's mission, however exciting that road might be.

With limited budgetary resources—and it looks to be the same due to constraints on the Federal budget—we have a tough choice to make.

CORRESPONDENCE WITH CALIFORNIA STATE LIBRARIAN

I asked a man who you know, the State Librarian in California, Mr. Gary Strong, and I received an interesting response from him. I thought I might place the letter we received from him in the record.

[The letter follows:]

CALIFORNIA STATE LIBRARY

LIBRARY—COURTS BUILDING • P.O. BOX 942837 • SACRAMENTO, CA 94237-0001

TELEPHONE (916) 445-2585

January 10, 1990

Mr. Edward E. Lombard
Staff Assistant
Subcommittee on Legislative Branch
House Appropriations Committee
H-302
Capitol Building
Washington, D.C. 20515

Dear Ed:

Thank you for providing us with an opportunity to comment on the Library of Congress report, "Unprocessed Arrearages of the Library of Congress," December 1, 1989.

The Library of Congress should be commended for all the initiatives which it has taken for cataloging published materials faster, reducing duplication of effort nationally. LC has made great strides since the 1960s in harnessing technology to attack workloads such as the cataloging of its holdings. It is making continuing efforts to devise new networking programs and organize cooperative efforts spanning the nation's libraries and information agencies.

This report recounts many of these efforts at increased use of both internal and external resources, in progress or planned:

1. Increased internal cooperation such as with Copyright Office.

2. Increased cooperation with other federal agencies such as NAL, NLM, and GPO.

3. Connection of LC to some of the major bibliographic utilities such as OCLC and RLIN.

4. Increased inter-governmental cooperation such as with state libraries to share state document catalog records.

5. Increased use of overseas field offices to create records in source countries.

6. Increased international cooperation with other national libraries such as National Library of Canada, British Library, etc.

7. Increased reliance on cooperative cataloging ventures with commercial publishers and other information agencies, such as Cataloging In Publication.

8. Increased use of contracted out efforts.

9. Increase shared cataloging programs with other research libraries including two way exchanges of available computer readable authority records and catalog records.

In the area of special materials (formats other than books, serials and microforms), a more imaginative analysis is needed. The same methods that seem to be coming together so well for books, serials, and some of the other published media, may not lend themselves effectively to cope with huge quantities of unique items. Pictorial materials, moving image materials, manuscripts, music, etc., that are unique are not amenable to decentralized means such as electronic transmission and exchange of computer records among libraries where different centers around the country are handling identical or nearly identical copies of the same item.

Because staff skilled at the curatorial functions of interpreting and devising access to these materials are so scarce and frequently come at a premium, the Library may need to look at more radical solutions than traditional cooperation provides. For instance, perhaps temporary hiring of a few (admittedly expensive) visiting scholars, consultants or contractual agents to survey the collections and develop descriptive or pictorial guides would provide one minimum answer.

In particular the manuscript collection (the second largest total backlog) by its nature should include an extremely high percentage of unique materials which will not benefit from any potential cooperative cataloging arrangements for like material in other institutions. Knowledge of the existence of these collections outside the Library of Congress would be most useful to those wishing to do research in the multitude of subject areas represented by these materials. We would encourage the Library of Congress to develop a plan to create at least collection level access to these manuscripts perhaps using the RLIN AMC (Archives and Manuscript Collections) system. More detailed information could be added to these records at any time later on without having to redo the initial record but researchers would have knowledge of the existence of the collections without having to wait for LC to find sufficient time to do more detailed records of the collections.

LC should be encouraged to enter into more collaborative projects such as the project with Research Publications, Inc. to film U.S. directories and then have Research Publications market copies to the rest of the country. This type of arrangement provides LC with a preservation microfilm copy for their collection, thereby protecting the material for future generations while at the same time making the content of the directories available to researchers nationwide.

Any higher priority that can be given to cataloging microforms particularly those that represent copies of preservation microfilm whose existence could benefit other library collections would also be most useful.

Based on the labor costs of processing materials presented on page 10 and applying it to the total number of items in the unprocessed arrearages, it would seem as if it would be to LC's advantage for a first pass to concentrate on three major areas: serials, manuscripts and music.

Material Category	No. of items to be processed	% of total arrearage	Est. labor cost	% of total est. cost
serials	2,543,000	6.7%	3,992,510	.8%
manuscripts	12,255,000	32.2%	12,377,550	2.5%
music	5,994,000	15.7%	6,053,940	1.3%
	20,792,000	54.6%	$22,424,000	4.6%

20.8 million of the 38 million item backlog (54.6%) could be processed for $22.4 million or 4.6% of the total cost of $480 million projected to do the full backlog.

This type of strategy ignores the importance of processing individual items in the various other categories of materials in the backlog, but given the magnitude of the backlog some kind of a triage approach would seem useful at least for a first pass.

Further, the Library should continue aggressively to pursue emerging technology such as optical disk and multi-media image storage and retrieval systems that can both capture the materials for preservation and replicate them for use and distribution. While the costs of the new media are still high they hold promise of offering less labor-intensive indexing and finding aids for certain classes of materials. The "hypermedia" projects and other digital electronic media being developed in various laboratories and organizations around the country are already yielding intriguing solutions that the Library should be exploring.

Thank you for sharing this report with us. We find it encouraging to see that the Library of Congress is making efforts to deal with their tremendous backlogs.

Sincerely yours,

Gary

Gary E. Strong
California State Librarian

GES:k

COMMENTS ON LETTER

Mr. FAZIO. Among other things, he says that, using your figures, about 55 percent of your arrearage can be processed for only 4.6 percent of the estimated cost of working off the entire arrearage goal you set in your report.

It looks to me like he has some reasonably good ideas as to how to go forward and I am hopeful that you will carefully analyze his comments. I think you need to get reactions from other professionals in the library field because this problem is truly a national dilemma. You might even call it a national crisis, although I am sure that we could not make the case in every area. Certainly, the language materials area is one that might be on the cutting edge of technology. You know, a year or two lost to arrearages in that area is a devastating loss.

CONCENTRATE ON ARREARAGE PROBLEM

So, as we go into the budget this year, I am very hopeful that you will concentrate on this problem. I know you are anxious to increase the Library's budget base in order to receive the funding you seriously and strongly feel is needed; but I think that the best way, the most compelling way to do this is to attack the arrearage problem. Attack it directly head on and make it something that we can document for our colleagues as truly a national problem.

As we proceed with the various stages of the appropriations process we should focus on this as a funding priority for the Library.

CONCERN APPRECIATED

Dr. BILLINGTON. I appreciate your concern and the committee's concern. I think it is a source of great encouragement, not only to the Library of Congress but the library community everywhere, that Congress has expressed such strong concern over what is such a central problem for all people who live with libraries.

I wanted to assure you that although these costs are enormous, our approach—which will be more fully documented in the final report we will get to you a bit later—which we promised will get the final figures on the arrearage thing—is clearly predicated on a three-year period of testing a variety of approaches. In other words, we are not going to go with this thing wholesale. We are going to try to do experimental probes using different techniques that are, of course, appropriate to the different kinds of materials you have seen. We will try to simplify cataloging wherever possible in the process, and devise methods that will be appropriate and test them. I am convinced we will be able to effect some economies that will bring costs down.

But our approach will be to try these things and inventory them during the next three years and then come back to you with the results of these three-year experiments, each of which will have had the function of doing something real. It is not just a game. We will do the NAACP records hopefully; we will do other key things.

We will also learn in the process. We are mindful of the bulk of the need to tackle the problem and the need to do it in a way that doesn't hook you into just some assembly line way of doing it.

The only other thing I would say is the very definition of the problem in terms of the variety of approaches needed and skills needed puts tremendous pressure not simply on having personnel but on training them. Because one of the greatest difficulties is we have very well motivated people that are still at the pre-professional ranks; but this professional work requires technical knowledge, library science knowledge, very often linguistic knowledge.

It isn't a question of creating a slot. There has to be the kind of training for the people.

I think the preparation of this arrearage study has energized a lot of ideas in a lot of people. It would be sad if we just had the slots and didn't have the possibility of training them to do the job more effectively.

Mr. FAZIO. A good point.

LIBRARY'S CASE MUST BE MADE APPARENT

Mr. YATES. May I make a comment? Perhaps I misunderstood you, Mr. Chairman.

You said one of our functions would be to document for our colleagues the state of the Library of Congress. Does that mean we can't improve that condition?

Mr. FAZIO. I think we should improve it.

Mr. YATES. Because of the condition of the budget?

Mr. FAZIO. I think our point is that we have to make the case to our colleagues. We have to let them know that things aren't okay at the Library and we need to make more resources available to document our case.

Mr. YATES. I agree with that.

How well are you able to serve our colleagues and the Congress in their requests for some of our services? I call up and ask for some kind of information and I get it pretty well. Your plight isn't well known because, as far as I am concerned, every time I call the congressional reading room or the reference service or one of the other functions of the library, I get served pretty well.

Now, I assume——

Mr. FAZIO. You are a very intimidating figure.

Mr. YATES. Oh, I don't think so.

I assume my colleagues will be receiving the same kind of service that I am getting. So each of them will be thinking what a wonderful job you do. They won't know about the buried treasures you have because your treasures, they are becoming more and more buried every year, aren't they?

Dr. BILLINGTON. Of course, we set up the system so that Congress is served first.

Mr. YATES. In other words, you are establishing your priorities.

Dr. BILLINGTON. You will be the last people hurt. Our first obligation is to the Congress.

Mr. YATES. I assume appropriations committee chairmen even will be the last to know.

Mr. FAZIO. This is on the record anyway.

PRIORITIES

Dr. **Billington**. The throughput time is very short on things that are a high priority interest to the Congress or that are needed by the Congressional Research Service which directly serves the Congress. We have five categories of priority cataloging.

If you are in category five, you are likely to wait for your grandchildren to see it cataloged, if they are lucky.

Not only are Congressional requests answered, but we will anticipate as a matter of first priority whatever first priority concerns are. That is why the arrearage is much less in books.

Monographs needed on a running basis are put through in a hurry. What this means is that everything else is slowly slipping out. Eventually, it is the base on which the other rests. By the time the Congress notices the erosion, it will have gone so far that it may be beyond repair.

MR. YATES' CONCERNS

Mr. **Yates**. How important are these parts, are the eroding parts of your library and are we taking care of it in measure so that one of these days it can be remedied?

I think of Washington as being the nation's capital and the place where people from all over the country come to see the wonders that are here. They see the White House; they see the Supreme Court; they see the Capitol; and they see the political basis of the functioning of our country.

But also, they come to see the sights and they come to see the splendors of the Smithsonian Institution, for example, and all of its activities. They go and see the other sights. The Library of Congress is one of the treasures of the nation's capital.

What you are saying—and I use the phrase "buried treasures"—more and more of this treasure is becoming buried for lack of funds. But more than that, I think of what, to use the phrase that this President uses, this President calls himself the education President. Do you carry on an education function for the country? Do you carry on—are you a central activity that is essential to the well-being of the education process in this country? I remember when Barbara Tuchmann came in to testify before our subcommittee, the subcommittee of which I happen to be chairman, she was ecstatic about libraries. She talked about the New York Public Library, of course, and said, in response to a request for an increase in the budget of the humanities, of the necessity for funding libraries.

Of course, we take very good care of the humanities in our committee. I wish we could do as well for the Library of Congress in this committee.

But she talked about just literally spending weeks in the stacks of the New York Public Library in order to do those marvelous books, to write those marvelous books that she has published.

Can we do as well with the Library of Congress now? Are your other libraries suffering the same as you are or is the central library of the nation falling into this area of disrepair that really will cause the whole library system to enter into kind of a dysfunction?

GENERAL CONDITION OF LIBRARIES

Dr. BILLINGTON. Well, there are several questions there. They are extremely important ones.

First of all, on the general condition of libraries, I think the figures that I quoted of our budget going up 13.8 percent at the same time when other cultural institutions are going up 36 to 65 percent is not a bad approximation of what is happening in most communities around the country. Not that museums or other cultural institutions are being as well supported as they probably should be either; but libraries tend to be a rather more embattled species.

We have conducted in the course of this review not just an internal review of the Library of Congress. I went around and had 12 national forums in different communities in the country—Chicago, New Orleans, Sacramento, among others. We got some very alarming statistics from people running libraries.

I am not sure, Mr. Chairman, if it is true, but somebody out in your district told us 40 percent of the state libraries in California have been shut in the last 12 years.

Mr. FAZIO. After Proposition 13, a lot of local libraries were shut down. Most of them have come back, but it was at great cost to local governments.

When we talk about not raising taxes, we mean about Federal taxes. State and local taxes have gone up markedly.

Dr. BILLINGTON. I found two things in talking to librarians. And I talked to about 10,000 people in the library and information business.

They are on the whole not very well off. On the other hand, they are not at all dispirited. It is a very dedicated group of people. They are not at all filled with self-pity and so forth. It is a very dedicated universe.

IMPORTANT RULE IN EDUCATION

Now that leads to the second question that you asked, about education. Yes, I think it is an important part. The Library of Congress has also played a reinforcing part in the infrastructure of education. It is part of my vision, and I think the shared vision we have now in setting up a number of new programs that we should play a more active role in the Nation's education.

We have essentially been—and it is a very dignified role—a kind of a passive receptacle of scholarly inquiries and place for scholars to work. I think the new technologies and the nations' needs combined give the Library of Congress a new role of a much more proactive force in the educational life of the country, but one which will do our mission through other libraries and in the schools.

The Library of Congress wants to reinforce the institutions with whom we work in harmony. We just appointed as our first education officer at the Library of Congress, a distinguished dean of associate humanities at Howard University, who teaches English literature and is an expert on Chinese poetry. She is a fantastically gifted scholar and administrator. We are looking forward to developing some really exciting new initiatives.

AMERICAN MEMORY

The American Memory project is designed to get the substance as well as the bibliographic information of the Library of Congress into schools and libraries. It is interactive. It is not passive entertainment, but museums are wonderful educational tools.

Occasionally, they, too, are interactive. Everything we have—unlike things in a museum—can be shared electronically with everybody in the country. That is the great frontier of this institution. Moreover, it can all be interactive as American Memory will be. It isn't passive. It is for the active mind.

Ninety-three percent of the school libraries in California acquired VCR's in the last decade. While 40 percent of them were going out of business, the same schools were getting audio visual equipment.

What this does is provide an audio visual component that has an interactive intellectual quality in libraries that will force people to go back to books to answer the very questions they get hooked on by going through an archival deposit.

Mr. YATES. Let me interrupt with a question, Jim.

Are you falling behind every year so that it will be almost impossible to catch up in time?

Dr. BILLINGTON. We are at the moment, yes.

Mr. YATES. At the moment you are?

If this trend continues, it will be almost impossible for you to carry out your function?

Dr. BILLINGTON. No, you can carry out the functions for the Congress. What will be missing——

Mr. YATES. So it becomes a library for Congress and not the nation?

Dr. BILLINGTON. That ultimately would be the result of what is going to happen.

Mr. YATES. Of what is going to happen?

Mr. Chairman, thank you.

Mr. FAZIO. Mrs. Boggs, any questions?

Mrs. BOGGS. I have several questions about various things.

Mr. FAZIO. Why don't we proceed through the agenda and I will certainly recognize you at the appropriate point.

Mrs. BOGGS. Thank you.

Mr. FAZIO. Before we get into the discussion about the various segments of the Library, I have a few general questions which can be answered for the record.

[The questions and responses follow:]

REIMBURSABLE PROGRAMS

Question. There is a modest increase projected in your reimbursable program. Place a table in the record indicating the source, workload, and reimbursements of all outside revenue programs. Indicate the staff assigned to each. Also, indicate the number and funding source of all administrative staff supported by programs which are not funded by direct Library of Congress appropriations.

Response.

Reimbursable Program

Source	Project	Purpose	Positions	Estimated FY 1991 Receipts
Department of the Army	Cold Regions Research and Engineering Lab.	To prepare a continuing bibliography on the basic properties and applications of snow, ice, and perennially seasonally frozen ground, based especially on the collections of the Library of Congress.	4	$ 238,000
	Intelligence and Threat Analysis Center	To prepare studies based on the examination of materials primarily in the collections of the Library of Congress	2	100,000
	Deputy Chief of Staff for Operations	To prepare studies based on the examination of materials primarily in the collections of the Library of Congress.	22	1,262,000
Armed Forces Medical Intelligence Center	Defense Research Project	To prepare studies based on the examination of materials primarily in the collections of the Library of Congress.	2	45,000
Department of the Navy	Naval Technical Intelligence Center	Literature abstracting services.	9	550,000
National Aeronautics and Space Administration	Bibliography	To prepare bibliographies in specific subject areas.	2	85,000
Department of Defense Washington Headquarters	Defense Research Project	To prepare studies based on the examination of materials primarily in the collections of the Library of Congress.	3	185,000
Central Intelligence Agency	Bibliography	To prepare bibliographies in specific subject areas.	8	465,000

Source	Project	Purpose	Positions	Estimated FY 1991 Receipts
Treasury Department	Research Project	To prepare studies based on the examination of materials primarily in the collections of the Library of Congress.	1	$ 25,000
Congressional Budget Office	Financial Services	To provide financial support in the areas of payroll, accounting, disbursement of funds, procurement and supply, and travel services.	5	90,000
Office of Technology Assessment	Financial Services	To provide financial support in the areas of payroll, accounting, and disbursement of funds.	4	57,000
Copyright Royalty Tribunal	Financial Services	To provide financial support in the areas of payroll, accounting, disbursement of funds, procurement and supply, and travel services.	1	22,000
John C. Stennis Center for Public Service	Financial Services	To provide financial support in the areas of payroll, accounting, and disbursement of funds.	1	20,000
National Science Foundation	Bibliography	To provide an abstracting and indexing service for current Antarctic literature, and to prepare bibliographies in specific subject areas.	3	227,000
Various Departments of the Federal Government	Federal Library and Information Center Committee	For services rendered relating to the use of commercially procured data bases of cataloged material and the centralized acquisition of book and serial publications from various vendors such as Dialog Information Services, Bibliographic Retrieval services, Mead Data Central, Online Computer Library Center, F.W. Faxon Company, and EBSCO Industries.	37	62,579,000
Sub-total (Reimbursable Program)			104	$65,950,000

Indirect Reimbursable Staff

Source	Project	Purpose	Positions	Estimated FY 1991 Receipts
Various Government Agencies	Library of Congress Administrative Working Fund account.	Reimbursement for indirect costs associated with services provided other Government agencies in accordance with 31 USC 1535 & 1536.	65	$ 2,000,000
Sub-total (Indirect Reimbursable Staff)			65	$ 2,000,000

Staff Supported by Gift, Trust and Revolving Funds

Source	Project	Purpose	Positions	Estimated FY 1991 Receipts
National Library for the Blind, Inc.	Library Services	Provision of reading matter for the blind and the employment of blind persons to provide library services for the blind.	1	$ 2,850
Whittall Foundation	Music programs	Maintenance of collection of Stradivari instruments and Tourte bows given by Mrs. Whittall, and presentation of programs in which those instruments are used.	1	109,200
Archer M. Huntington	Hispanic Society	Equipment and maintenance of the Hispanic Society Room and maintenance of a chair of English-language poetry.	2	30,000
Swann Memorial Fund	Exhibit	Maintenance of an exhibit of cartoon and caricature originals.	1	43,300
American Association for the Advancement of Slavic Studies	Bibliography	Toward preparation of a bibliography of Slavic and East European studies.	1	4,500
Mellon Foundation	Internships	Support of internships in preservation administration and science	1*	-0-

Source	Project	Purpose	Positions	Estimated FY 1991 Receipts
Miller Fund	Collections	Maintenance and development of the Dayton C. Miller Collection of flutes and flute-related materials.	1*	-0-
Various Donors	Documents Expediting Project	Distribution of documents to participating libraries.	4	155,000
International Federation of Library Associations & Institutions	Preservation	Study of Insect Control in Libraries and Archives and a Study on Disaster Preparedness.	1	45,000
Various Donors	Center for the Book	Expenses of the Center for the Book.	2	75,000
Mary Pickford Foundation	Motion Picture Industry	Support of programs related to the history and development of the motion picture industry.	1	50,000
National Geographical Society	Map Project	Support of a map project for the 1991 Bicentennial of Washington, D.C.	3*	-0-
Cafritz Foundation	Guide	A guide to the architecture, design and engineering collections of the Washington, D.C., metropolitan area.	3*	-0-
Various Donors	Photoduplication	Support of reproduction of materials in various forms.	109	4,520,000
Various Donors	Recording Lab	Support of reproduction of materials in recorded form.	11	478,000
Various Donors	Green Fund	Support of materials related to the Library of Congress and its collections.	2	310,000
Various Donors	Clapp Publication Fund	Support of publications.	2	35,000
Sub-total (Gift, trust, and revolving funds)........			146	$ 5,857,850
Grand Total			315	$73,807,850

*Positions supported by prior year carry-over funding.

Question. Is this the area where we should see some growth by virtue of your development efforts? Describe your activities in the development area. What funds have been raised? (Actually, we see a decrease in gift and trust Funds.)

Response. There has already been significant growth in the level of gifts to the Library of Congress during the last year. Between FY 1980 and FY 1988 the level of gifts to the Library of Congress stayed below $3 million per year. In FY 1989, gifts went up to $3,470,000. Our estimate for the first quarter of FY 1990 in terms of gifts to the Library is $4,277,000. This includes three significant million-dollar gifts, as well as a number of other contributions for exhibits, acquisitions, pilot projects, and Library-wide activities.

With regard to trust funds, which are essentially endowments, where the investment income only may be expended, the investment income has risen from $683,695 in FY 1986 to $839,000 in FY 1989. These funds are invested largely with the U.S. Treasury and some are invested with private banks through the Library's Financial Services Directorate. The Development Office, while it prepares the Trust Fund Report, and serves as the executive secretariat for the Trust Fund Board, is not responsible for the investment of the Library's trust funds.

In its first full year of operation, the Development Office coordinated and oversaw fund-raising activity Library-wide. The Development Officer and his staff of two assistants and one secretary also initiated a major new private sector membership program (the James Madison National Council, a small, high-level national advisory group whose members contribute between $10,000 and $100,000 to promote the mission of the Library). In addition, the Development Office assisted in the development of a large number of proposals and other types of funding requests, for projects ranging from a conference on the Book in the Islamic World to the American Memory Project.

A major emphasis over the past year for the Development Office was to develop expertise in fund raising throughout the Library, enabling the Development Office to extend its limited resources. In response to interest expressed by Library staff in learning more about how to raise funds successfully, the Development Office organized a number of seminars in private sector fund raising techniques, from basic proposal writing to several projects, including notably a successful foundation proposal for expanding an overseas office, were developed following the seminars with the assistance of the Development Office.

As an extension of the effort to increase the Library's links with the private sector, The Development Office organized briefings for a number of entrepreneurs interested in cooperating with the Library as well as seminars for high-technology companies wishing to provide technical expertise to advance Library projects.

The Development Officer also focused on fund raising for the Library's foreign language collections, developing relationships with officials from a number of countries which will lead to major gifts both in the near term and in years to come.

Finally, the Development Office, in cooperation with members of the Cultural Affairs Transition Team, planned and prepared for the special challenges of its future location within the new Cultural Affairs Service Unit, where it would continue to serve the fund-raising needs of the entire Library as well as the James Madison National Council.

The decrease in income for gift and trust funds shown in the FY 1991 column of the Budget Appendix is the result of the way in which these estimates are constructed. We do not include in the budget year column any new gift or trust funds, since by their nature they are unpredictable and may not materialize. The budget display for this line item only includes interest income and any further gift funds scheduled to be received from those gift funds established in FY 1989 (past year) or in earlier years. Since the FY 1991 budget was prepared, we have received additional information on actual gift and trust fund receipts. During the first quarter of FY 1990, the Library received $877,000 of new gift and trust funds which would increase our FY 1990 estimate from $8,334,000 to $9,211,000.

SALARIES AND EXPENSES

The 1991 budget request total $197,741,000. Of this amount, the Library will collect $6.6 million from the sale of catalog cards and publications; the direct appropriation, therefore, which will be covered into the Treasury would be $191,141,000, an increase of $35.6 million or 23 percent over the current level.

Question. The "Salaries and Expenses" appropriation is the basic appropriation for the operation of the Library. Under this account, the collections are acquired, maintained, and made available for Congressional and scholarly use. Many of these activities have been reshuffled and renamed as a result of the reorganization. But the total comports to this year, does it not? You didn't move any of the old activities to another account?

Response. The reorganization realigned the Library's functions in accordance with its mission, that is, Collections Services, Constituent Services, Cultural Affairs, etc. The basic functions remain the same within this appropriation. None of the former activities in this appropriation have been moved to another account. However, the Library has undertaken new initiatives to make collections more visible and accessible to the Congress and the nation.

Question. The 1991 budget increase, including offsetting collections, is $35.6 million. Of that amount, $10,041,000 is for "mandatory" items.

These mandatory items include $476.3 thousand for annualization of unfinanced positions that were funded in the FY 1990 bill. How many are there? For how many months?

Response. This amount will finance forty-two (42) positions for approximately six months.

Question. These positions were funded in either the House bill, Senate bill, or the conference agreement. For the record, indicate where each position was authorized, and in what amount.

Response. Forty-two unfinanced positions in the Salaries and Expenses, Library of Congress appropriation were funded in FY 1990. A listing of those positions is as follows:

Positions authorized	House	Conference	Amount
Preparation of books	26		$301,262
Special collections	8		63,023
Research services		7	[1] 111,000
American folklife	1		11,672
Total	35	7	486,957

[1] Funding for these 7 positions was withheld from obligation by P.L. 101-163, Legislative Branch Appropriation Act, 1990.

Question. What positions are included in the $219,000 pay cap item? List for the record.

Response. The list follows:

LIBRARY OF CONGRESS

SALARIES AND EXPENSES

The Librarian of Congress,
The Deputy Librarian of Congress,
The Legislative Liaison Officer,
General Counsel,
Associate Librarian for Operations,
Associate Librarian for Management,
The Law Librarian,
Chief European Law Division,
Chief American British Law Division,
Chief Hispanic Law Division,
Chief Near East and African Law Division,
Associate Librarian for Collections Services,
Director for Technical Processing Services,
Director Collections Policy,
Director for Cataloging,
Chief Officer for Descriptive Cataloging Policy,
Director for Acquisitions,
Associate Librarian for Constituent Services,
Chairman US National Library Task Force,
Director Public Service/Collections Management I,
Director Public Service/Collections Management II,
Chief Science and Technology,
Chief Hispanic Division,
Director Library Distribution Service,
Chief Geography and Map,
Chief Manuscript Division,
Chief Motion Picture, Broadcasting, and Recorded Sound Division,

Chief Asian Division,
Director Preservation and National Preservation Programs,
Associate Librarian Cultural Affairs,
Director American Folklife Center,
Director Automated Systems Office,
Assistant Director for Research,
Deputy Director Automated Systems Office,
Director Financial Services,
Health Services Officer,
Director Integrated Services.

Question. Under price level changes, you request an increase of $1,342,000. The President's budget projects about 4.0% in FY 1991. Is that the figure you used?

Response. No. The Library's price level changes were based on the percentage of increase experienced in each object classification. The Library's requested increase is 3.9% of the base.

Question. Estimate the effect of using the rate projected in the President's budget, and provide a table for the record comparing that estimate with the estimates in your budget request.

Response. Using the President's projected rate would have produced a slightly higher amount. The requested table follows:

LIBRARY OF CONGRESS

Percentage of Current Level Increase/Decrease to 1990

	1990 adjusted	1991 request	4.0 percent increase
FISCAL YEAR 1991			
21 Travel	$676,094	$67,800	$27,043
22 Trans. of Things	227,118	9,000	9,084
23 Rent, Comm. & Utilities	11,199,245	357,000	447,969
24 Printing & Reproduction	4,234,425	203,200	169,377
25 Other Services	11,043,664	712,414	441,746
26 Supplies & Materials	2,839,221	112,400	113,568
31 Equipment	11,692,290	224,800	467,691
41 Grants	1,016,000		40,640
42 Claims and Indemnities	2,000		80
Total Non-Personals	42,930,067	1,686,614	1,717,198
CDS Offsetting Collect		−345,000	−345,000
Net		1,341,614	1,372,198
Percent of Increase		3.9	4.0

Mr. FAZIO. Mr. Porter has submitted a question that you can answer for the record.

[The question and response follows:]

QUESTION SUBMITTED BY MR. PORTER

Question. You state in your testimony that requiring the Library to absorb mandatory pay increases, has led to a decrease of 475 staff members from comparable 1984 levels. Can you explain to the Subcommittee how these vacant positions have been distributed among the Library's responsibilities and services.

Response. The vacant positions are distributed as follows:

	Fiscal year		Difference	
	1984	1990	Amount	Percent
Preparation of books	1,211	1,109	−102	−8.4
Preservation of materials	108	91	−17	−15.7

—Continued

	Fiscal year		Difference	
	1984	1990	Amount	Percent
Public service/collections Management I	264	238	−26	−9.8
Constituent services	570	459	−111	−19.5
Cataloging distribution service	170	123	−47	−27.6
Law library	102	88	−14	−13.7
Cultural affairs	45	51	+6	+13.3
American folklife center	27	23	−4	−14.8
Management services	583	487	−96	−16.5
Automation	172	201	+29	+16.9
Office of the librarian	50	42	−8	−16.0
Copyright office	542	539	−3	−.5
Congressional research service	898	826	−72	−8.0
Books for the blind and physically handicapped	141	131	−10	−7.1
Total	4,883	4,408	−475	−9.7

Note: Fiscal 1984 has been adjusted to reflect the budget elements in the fiscal budget justication.

COLLECTION SERVICES

Mr. **Fazio**. Since we have been discussing the arrearage problem, we should discuss collection services and then touch on restoration, reimbursable programs, and other issues.

You are requesting $7 million for the purchase of books. Approximately how many books will this provide? Is this basically foreign material?

Dr. **Billington**. Largely foreign material, yes. We get most of our domestic books by copyright deposit.

Basically, 20 percent of the books we get in a given year we have to purchase. The overwhelming majority of those are foreign purchases.

Ms. **Avram**. Right. During FY 1989, we purchased about 679,000. With that 7 million dollars we can purchase 906,735 pieces.

Mr. **Fazio**. How does that figure compare with prior years? Is it an increase?

Ms. **Avram**. What happened this year is the price of books appears to be getting steadier for the general collection.

Dr. **Billington**. Law books have gone up.

Ms. **Avram**. Law books have gone up. Serials have gone up. For books other than law the price more or less stayed pretty stationary.

Mr. **Fazio**. The dollar value comes into play here?

Ms. **Avram**. Yes. The value of the dollar is very important, because about 63 percent of the books are foreign.

Mr. **Fazio**. Mr. Yates would like to know if this includes rare books?

Ms. **Avram**. All books, yes.

Mr. **Fazio**. I have some questions on the purchase of books. Please answer them for the record.

[The questions and responses follow:]

Question. Under Collections Services you are requesting $7,023,000 for the purchase of books. Approximately how many books will this provide? Is this primarily for foreign material?

Response. In FY 1989 the average price per piece for all categories of materials in both Genpac and Law allotments was $7.61. If we purchased materials in the same categories during FY 1991 for $7 million with an inflationary increase of 1.49 percent, at an average cost of $7.72 per piece, we would be able to purchase 906,735 pieces. Approximately 63 percent of our purchases are for foreign materials.

Question. What percentage of your total acquisitions in fiscal 1991 do you expect this item will support.

Response. We anticipate that purchased items will account for 20 percent of the Library's total acquisitions in 1991. During FY 1989 we purchased 679,800 items and received 2,146,000 items on exchange and gift; and additional 609,200 pieces received through copyright deposit brings the total acquisitions to 3,435,000.

Question. Update the acquisition/collection data on pages 377-382 of the FY 1990 hearing book.

Response. The information follows:

THE COLLECTIONS OF THE LIBRARY

Category	Titles 1988	Volumes/items[1] 1988	Titles added 1989	Volumes/Items added 1989	Titles withdrawn 1989	Volumes/Items withdrawn 1989	Titles 1989	Volumes/Items 1989
Classifed Book Collections								
Class A (General Works)	78,651	376,491	956	4,040	26	52	79,581	380,479
Class B-BJ (Philosophy)	144,596	229,218	3,449	4,501	91	15	147,954	233,704
Class BL-BX (Religion)	360,004	515,933	7,068	9,466	129	14	366,943	525,385
Class C (History, Auxiliary Sciences)	98,462	195,511	2,500	3,382	71	29	100,891	198,864
Class D (History, except American)	666,982	957,429	15,709	18,777	193	108	682,498	976,098
Class E (American History)	121,079	212,496	2,013	3,954	134	41	122,958	216,409
Class F (American History)	198,900	346,170	5,200	7,120	196	279	203,904	353,011
Class G (Geography, Anthropology)	306,843	318,629	3,954	6,333	133	30	310,664	324,932
Class H (Social Sciences)	1,077,983	2,247,573	31,707	45,720	603	529	1,109,087	2,292,764
Class J (Political Science)	228,860	674,528	3,892	8,247	101	81	232,651	682,694
Class K and "LAW" (Law)	544,742	1,773,574	10,625	34,995	274	984	555,093	1,807,585
Class L (Education)	192,199	427,777	2,391	4,752	122	32	194,468	432,497
Class M (Music)	397,104	556,890	5,266	3,849	0	61	402,370	560,678
Class N (Fine Arts)	261,016	365,632	6,916	7,701	102	163	267,830	373,170
Class P (Language and Literature)	1,503,086	1,943,290	29,981	29,997	791	2,139	1,532,276	1,971,148
Class Q (Science)	504,249	891,161	11,945	17,813	289	218	515,905	908,756
Class R (Medicine)	218,320	367,199	6,621	7,081	138	47	224,803	374,233
Class S (Agriculture)	162,362	353,931	3,038	4,459	52	20	165,348	358,370
Class T (Technology)	542,912	1,055,966	12,369	18,407	354	869	554,927	1,073,504
Class U (Military Science)	69,051	153,529	1,601	2,412	32	12	70,620	155,929
Class V (Naval Science)	35,623	87,766	712	1,161	23	8	36,312	88,919
Class Z (Bibliography)	225,711	531,307	4,349	8,716	128	72	229,932	539,951
Total classified book collections	7,938,735	14,582,000	172,262	252,883	3,982	5,803	8,107,015	14,829,080

[1] Adjusted figures

Category	Titles 1988	Volumes/items 1988	Titles added 1989	Volumes/Items added 1989	Titles withdrawn 1989	Volumes/Items withdrawn 1989	Titles 1989	Volumes/Items 1989
Nonclassified Collections								
Audio material								
Recorded sound collection		1,268,809		66,760		21,263		1,314,306
Talking Books	31,175	33,991	1,868	1,868			33,043	35,859
Total audio material		1,302,800		68,628				1,350,165
Manuscripts								
Manuscript Division		35,892,592		645,227		216,389		36,992,230
Music Division		326,844						
Other		343,956						
Total manuscripts		36,563,392						

Category	Titles 1988	Volumes/items 1988	Titles added 1989	Volumes/Items added 1989	Titles withdrawn 1989	Volumes/Items withdrawn 1989	Titles 1989	Volumes/Items 1989
Nonclassified Collections-Continued								
Maps (classified and nonclassified)	3,793,699	3,919,000	32,144	32,144	5,374	5,374	3,820,469	3,945,770
Microforms[2]	3,095,867	7,343,209	155,428	345,662	2,475	2,475	3,248,820	7,686,396
Print material/print products								
Books in large type	554	8,634	15	29			569	8,663
Books in raised characters	7,199	62,113	397	912			7,596	63,025
Incunadula	4,693	5,691					4,693	5,691
Minimal-level cataloging (mongraphs and serials)	166,598	166,598	29,892	29,892			196,490	196,490
Music	3,589,484	3,710,366	6,234	6,234	23	23	3,595,695	3,716,577
Newspapers (bound)	4,396	37,617			497	497	3,899	37,120
Pamphlets	230,895	230,896	29,316	29,503	3,182	5,493	257,029	254,906
Technical reports	729,689	1,453,345	14,997	14,997	9,684	9,684	735,002	1,458,658
Other	3,086,526	6,674,564	10,741	10,741	297	297	3,096,970	6,685,008
Total print materials	7,820,034	12,349,824	91,592	92,308	13,683	15,994	7,897,943	12,426,138

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[2] Includes newspapers, maps, and technical reports. Large microfiche sets are reported as a single title.

Category	Titles 1988	Volumes/items 1988	Titles added 1989	Volumes/Items added 1989	Titles withdrawn 1989	Volumes/Items withdrawn 1989	Titles 1989	Volumes/Items 1989
Nonclassified Collections-Continued								
Visual material								
Motion pictures	102,013	345,234	850	850	6,545	6,545	96,318	339,539
Photographs (negatives, prints, and slides)		10,403,271		1,075,673		3,502		11,475,442
Posters		62,889		1,193		4		64,078
Prints and drawings		265,199		13,280		10		278,469
Videotape and videodisc	50,007	57,192	8,216	8,216			58,223	65,408
Other (broadsides, photocopies, nonpictorial material, photostats, etc).		1,121,580		16,475		52,536		1,085,519
Total visual material		12,255,365		1,115,687		62,597		13,308,455
Total nonclassified collections		73,733,590		2,299,656		324,092		75,709,154
Grand total		88,315,590		2,552,539		329,895		90,538,234

RECEIPTS BY SOURCE, SEPTEMBER 30, 1989

	Pieces, 1988	Pieces, 1989
By purchase		
Funds Appropriated to the Library of Congress		
NLS/BPH Talking Books	1,908,498	1,772,900
Law Library	53,868	49,378
General Collections	645,318	630,574
Copyright	4,832	4,737
Copyright Licensing	482	554
Congressional Research Service	192,841	176,228
Materials for Program Support	3,851	16,459
Special Foreign Currency Program	248,513	261,267
ATRA	1,136	1,426
Salaries and Expenses, Library of Congress		
Microforms	40,814	19,640
Motion Pictures		1
By transfer		
Federal Research Division	36,726	26,145
Other	197	206
Gift and Trust Funds		
ABA Rare Law Fund	1	
Africana	2	11
Babine	812	
Center for the Book	6	15
J.B. Childs	1	
Documents Expediting Project	52	52
Evans Fund	48	67
Exhibits Office		2
FEDLINK	7	7
Gottscho		1
Green Fund	498	1
Heinemann Fund	1	1
Hubbard		1
Huntington Fund	576	721
Kegan Fund	45	
Kostelanetz	1	
Mumford Fund	1	1
Pennell Fund	3	
Roberts		2
Special Foreign Currency Program	65	13
Spivacke	17	7
Stern Fund	22	30
Swann Foundation	74	7
Time-Life Books	4	2
Various Donors	5,629	
Wilbur		15
Wilson		7
Total	3,144,941	2,960,478

RECEIPTS BY SOURCE, SEPTEMBER 30, 1989 - Continued

	Pieces, 1988	Pieces, 1989
By Government source		
Local agencies	293	274
State agencies	110,503	132,332
Federal documents (GPO jacket)	476,567	604,659
Federal documents (agencies and non-GPO)	167,813	133,412
Copyright deposits	633,168	720,475
Total	1,388,344	1,591,152
By transfer from other government agencies	2,429,365	2,248,782
By gift	847,279	1,696,087
By exchange		
Domestic	17,778	15,309
Foreign and international exchange	432,491	408,236
Total	450,269	423,545
Total receipts	8,260,198	8,920,044

PREPARATION OF BOOKS

Mr. FAZIO. The next line item in the bill is, Preparation of books, are we talking about books for the general collections, and if so, I am wondering what the arrearage backlog is in the general collections?

Ms. AVRAM. In the general collections, it is about—well, I have the number, For books and serials for the general collection, it is about 216,000—I am sorry. That is not accurate.

It is about 324,000.

Mr. FAZIO. That is the backlog?

Ms. AVRAM. The arrearage, yes.

Mr. FAZIO. How many are you bringing in this year?

Ms. AVRAM. About 216,000. This is a combination of both books and periodicals.

Mr. YATES. What do you mean by a serial? Can you give us an example?

Ms. AVRAM. A serial is something that continues.

Mr. YATES. I know about the Pearl White serials in the old days.

Ms. AVRAM. Time Magazine, Newsweek are serials.

Mr. YATES. This is a complete publication in itself? This is not a continued story. That is the way I think of a serial.

Ms. AVRAM. No. It is not that kind of a serial. It is a periodical.

Mr. YATES. I wasn't sure. I just couldn't conceive of that kind of a serial.

Ms. AVRAM. There are certain books called monographs in series.

Mr. FAZIO. I am trying to get a handle on this question because Ed Lombard points out that in the report under the number of items in unprocessed arrearages, it states print materials, 4.5 million. How does that relate to the discussion we are having?

Ms. AVRAM. We have two collections of books and serials in the Library. One of them is a general collection and those are in the Science and Technology Reading Room, the Genealogy Reading Room and so on.

There is a large arrearage in the area collections, the African collections and so on. So what I was counting was the arrearage in the general collection.

Mr. FAZIO. The general collection would be by definition English, American——

Ms. AVRAM. No. They are not all English. They are also in foreign languages.

Mr. FAZIO. All foreign languages?

Ms. AVRAM. Yes. But the special reading rooms for the areas have their own books and serials.

Mr. TABB. It is true the full scope of the arrearage problem is 4.5 million items in print materials, which includes books, serials and microforms in all collections.

Dr. BILLINGTON. More than two-thirds of the books are in foreign languages so that you are dealing not just with English.

REDUCE ARREARAGE GROWTH

Mr. FAZIO. You are asking for funds to reduce the growth of the arrearages. In other words, the 16 positions that have been requested. Really, they don't go to working down the arrearage as much as reducing the degree to which you are adding to the arrearage problem?

Ms. **Avram**. That is exactly right.

Mr. **Fazio**. That is the purpose of the 16 positions?

Ms. **Avram**. That is what they would do. For the general collection.

Mr. **Fazio**. Those positions would not affect the special materials which are a much greater problem?

Ms. **Avram**. Without touching the special collections.

Mr. **Fazio**. What would it take to begin the process of stopping growth in the arrearage?

In other words, to stay steady at the current unacceptable level?

Ms. **Avram**. In some of these, the figures we have given to you would eventually stop the growth. I mean, we would get on top of the current acquisitions and begin to dig into the arrearage.

Mr. **Fazio**. Is that because of increased productivity of these people once they have gone through the training?

Ms. **Avram**. There are various ways of putting the material under control. For example, in manuscripts, you take the kind of folder Dr. Billington gave you and do the contents of that folder in such a way with an index that somebody can access it. It doesn't take as long as a cataloging record.

So you can do more of those in a shorter period of time.

Mr. **Fazio**. Without the detailed notation of what is included. Somebody making a general inquiry would know?

Ms. **Avram**. A scholar could make a general inquiry, and know where to find the material.

Mr. **Fazio**. Is that your plans?

Ms. **Avram**. Yes, for some material

Mr. **Fazio**. You are making distinctions between some collectibles?

Ms. **Avram**. Yes. With the pilot project we hope to describe later this month that Mike Shelley has been——

PILOT PROJECTS

Mr. **Fazio**. Since he is coming to the table, it might be a good time for him to tell us what he is planning in these pilot projects. It fits right in here.

Mr. **Shelley**. What we are looking at is a series of experiments over a three-year period. We don't know how many experiments there will be. We have identified five that we expect to be starting with within the next few months.

What we are looking at primarily are ways to enhance the productivity of the staff members we already have through improving our procedures as well as using new applications of technology to increase our resource base.

Mr. **Fazio**. Could you tell me what you mean by that?

Mr. **Shelley**. There are a number of things we might be able to do on a computer network basis that were mentioned earlier. Other libraries do cataloging on the bibliographic utilities but we don't make use of that. When we get a direct computer-to-computer connection, we will be able to look and see if the book has been cataloged by a library somewhere else in the country. If it has, we can bring a copy of that record electronically from the data base in Ohio, California, wherever, directly into our data base, manipulate that to make minor changes, and put on a call number so we can put the book into our own collections.

By doing that, we expect to save a considerable amount of time and money.

Mr. FAZIO. Are they doing it on a standard that would be acceptable to us? Would we want to mandate that?

Mr. SHELLEY. We are testing that.

Mr. FAZIO. When you say "testing it," there is a trial period?

Mr. SHELLEY. We are doing that.

Ms. AVRAM. That has been going on for about two years.

Mr. FAZIO. They are sharing the task of cataloging?

Ms. AVRAM. Yes.

Mr. FAZIO. Why would they get to catalog on item before you would? Is it regionally important? For instance, why would a library in Ohio catalog an item before you would?

Describe for me how that might occur.

[The information follows:]

It is not so much that there is the likelihood that another library would get an item before the Library of Congress, but that the Library, in following its current priority system, would concentrate on cataloging its English language material before its foreign language aquisitions. Therefore, some other library could catalog an item before LC does.

Ms. AVRAM. We are doing several kinds of things. One of the things we intend to do for the arrearage and for current cataloging, if I may use that phrase——

USING OCLC AND RLIN SYSTEMS

Mr. FAZIO. Arrearage would be a problem—I shouldn't interrupt, but arrearage in many of these collections wouldn't relate to the new materials are flowing into a State library, for example.

Please proceed.

Ms. AVRAM. We are using the OCLC system, the on-line cataloging system, and the Research Library Information Network, to search those two data bases. If we find a cataloging record, we will use it. That should help.

Because studies we have done show that in the non-unique items there is a lot of overlap in those two data bases. We also will have to upgrade, but we will use those files.

Mr. FAZIO. Are you encouraging them to upgrade theirs?

Ms. AVRAM. No. We will upgrade the records and distribute them to the nation.

Mr. FAZIO. If they do a less detailed cataloging, you will upgrade it and give it back to them?

Ms. AVRAM. Make it available, distribute it to the entire nation.

FORMAT VARIANCES

Mr. FAZIO. Why can't it be cataloged in the same format the first time?

Ms. AVRAM. It is done in the same format. However, libraries may not know all the information to catalog the item as we would. We look at our cataloging as cataloging for the nation.

Mr. **Fazio**. I know the Library has a higher standard. Why don't all libraries require the same information?

Ms. **Avram**. Without trying to get into the details of cataloging, there is no way for them to put on a Library of Congress call number in the record without being in the Library of Congress. There is no way to do that.

Mr. **Fazio**. I understand.

Ms. **Avram**. So that is one item. We have the Dewey people in the Library of Congress. That is another item of information. But, however, the other project that was talked about, the National Coordinating Cataloging Program, is aimed toward these cooperating libraries being able to catalog at the same level as L.C. Libraries of eight of the prestigious universities are cataloging with us and follow our rules and except for the things I have just talked about like the L.C. call number, they are getting closer and closer to following us. We have in this past year used about 40 percent of their records that they have saved us about $52,000.

So that is underway at the same time that the other one we are planning to use the copy cataloging I described earlier.

Mr. **Fazio**. Potentially, we can save millions in this area?

Ms. **Avram**. Potentially if we get this going, yes. We have two positions included in the budget request where we would like to take on another eight libraries.

Mr. **Fazio**. These are the major research libraries that can not wait for the Library of Congress to catalog their materials?

Ms. **Avram**. Well—they don't.

Mr. **Fazio**. Why won't they wait?

Ms. **Avram**. That is one of the problems with the arrearage. If we can't catalog everything, for the general collections, which are non-unique, items needed of all institutions. Since we can't handle all of them, we have a priority system, and if it is not in priority one, as Dr. Billington said, by the time it gets down to priority five, it is late in getting out.

So they catalog them.

Mr. **Fazio**. Is there any way you could teleconference between these major research facilities and divide up the work?

Ms. **Avram**. We have tried to do that.

Mr. **Fazio**. Let them catalog items of their greatest interest?

Ms. **Avram**. The pilot project that is going on covers areas of the world. It takes advantage of the specialty of a particular library, like Michigan, for example, is doing German and so on. That sometimes works and sometimes doesn't because you don't want to hold up a title for the library specializing in that language to get that title.

That library might not choose to buy that title and then nobody would have cataloged that book. So there are problems in dividing up the work. We are trying.

Mr. **Fazio**. You would get a larger percentage of the German titles available sooner than if you decided to wait to catalog the German titles?

Ms. **Avram**. Right. I think that that project has very great potential.

ALL UNION BOOK CHAMBER

Dr. **BILLINGTON**. There is also an interesting experiment that Ms. Avram's group has been involved in of exchanging bibliographic records with the All Union Book Chamber in the Soviet Union for Cyrillic language materials. If we can make those compatible, that would save a lot of time and expense.

So this is clearly the wave of the future.

We have three different cooperative programs going in this area, plus individual projects on the international side. There is clearly a frontier here. The priorities of these groups, the priorities of the University of Michigan faculty and the priorities of the Congress and the United States Government are going to be different.

So it is going to be a little difficult to coordinate them without becoming big brother. We try to be friendly cousins where possible.

Mr. **FAZIO**. I don't want to be big brother either. But, you are providing such a tremendous benefit, I would hope you could receive some reciprocity and some willingness to cooperate.

Ms. **AVRAM**. Oh, I think they are cooperating.

Mr. **FAZIO**. Even to the point of meeting the broader needs of the Library.

Ms. **AVRAM**. It is costing each one of these cooperating libraries more money to catalog when they do it with us than it would if they were doing it their own way.

Mr. **FAZIO**. Just that many more data entries?

ONGOING PROFIT EVALUATION

Ms. **AVRAM**. It is more difficult to follow the LC's national level cataloging standards. However, they are all very willing to do it. They have no problem there.

We are evaluating the project as we go along. We are evaluating it from the point of view of the Library of Congress. The Council on Library Resources, which partially funded the project, is evaluating it from the point of view of the other participating libraries.

Mr. **FAZIO**. We don't want you to be too intrusive. But at some point if you you find a level of cooperation inadequate, perhaps, it might be important for the Congress to provide more incentive to obtain cooperation from all these libraries which benefit greatly from the Library's service. As you begin to calculate—and you did in your introductory comments—the tremendous benefits that flow to state and local governments and to the universities, the significance of these services becomes apparent.

OTHER COOPERATIVE EFFORTS

Mr. **TABB**. I think it is important to know in response to language we received from you last year, Henriette has begun to work with groups from the Association of Research Libraries as well as the American Library Association to look at some of these questions as to how these groups might help us sustain our bibliographic operations.

Mr. **FAZIO**. You use the carrot rather than the stick, right? As long as they don't lose their appetite for carrots, you are in fine shape.

Ms. **Avram**. We have a project that has been going on for sometime on another kind of bibliographic record. There are 50 participants.

Libraries out there participating with us in our national coordinated cataloging operations project for authority records. There are many state libraries plus university libraries.

Dr. **Billington**. There is the cooperative on-line serial program which has 25 participants. There really are a whole series of these kind of things.

Mr. **Fazio**. These, of course, free the Library's resources, as inadequate as they are, to do the more unique and difficult tasks that only the Library of Congress can do, where the Library is the only repository or at least one of very few.

I encourage this. For the record, I would like you to enter a brief synopsis of these cataloging projects and perhaps place it in the context of your efforts in recent years and which show us the direction in which you are going.

[The information follows:]

Cooperative Cataloging Projects

CONSER—The CONSER (Cooperative ONline SERials) Program is a cooperative program to build a nationwide serials database. The CONSER file is housed on the OCLC database. Participants input, authenticate (that is, review and verify as being accurate), and modify serial cataloging records on the OCLC database. Authenticated records are added to LC's online catalog and are distributed through the Cataloging Distribution Service (CDS). Catalogers at LC catalog directly online to OCLC using OCLC terminals, contributing approximately 16,000 records per year. They are also able to use existing records created by other institutions.

The National Coordinated Cataloging Program—The National Coordinated Cataloging Program (NCCP) is a program where eight research libraries—representing member institutions of both OCLC and the Research Libraries Group—in cooperation with the Library, prepare national-level cataloging records to be added to the national-level catalog residing at LC. These libraries are following LC rules and procedures in creating these cataloging records that can be used by LC catalogers and that will be distributed through CDS.

The National Coordinated Cataloging Operations—The National Coordinated Cataloging Operations (NACO) program involves over fifty libraries cooperating with the Library to build a database of authority records at LC. Participating libraries contribute their authority records in a number of ways—on manual worksheets, online to LC using an LC terminal and online to LC using the Linked Systems Project where they can input to their own terminal and the records are passed over the utilities to the Library.

COPY CATALOGING

I. *Name of Pilot.* Copy Cataloging—Books Arrearage.

Materials Involved. Books and pamphlets in English and the other western European language.

Description. The Library has an arrearage of approximately 102,000 volumes of English and Western European languages. Studies indicate that approximately 50% of these materials have already been cataloged by other libraries using the OCLC and RLIN bibliographic utilities. LC staff will search the OCLC and RLIN data bases to see if cataloging copy can be found for each item. If copy is found, the record will be printed out and given to a copy cataloger who will perform necessary editing to make it conform to the Library's authority files. The record will then be entered into the Library's automated system and the item will be bound, labeled, and shelved in the Library's collections. The computerized record will also be available for other libraries through the MARC Distribution Service.

Potential Benefits. The Library will be able to reduce its arrearage and add more material to its collections. Other libraries will profit by being able to obtain an enhanced catalog record.

Volume and Commencement Date. The project will begin in late spring 1990. It is expected that approximately 3,000 titles will be cataloged the first year. Approximately 13,500 titles per year will be cataloged in subsequent years.

Duration. The project will be reviewed in 1991 to see if it is successful. If so, it will be continued indefinitely or until the arrearage is gone.

II. *Name of Pilot.* Copy Cataloging—Sound Recordings.

Materials Involved. Sound records held by the Motion Picture, Broadcasting, and Recorded Sound Division.

Description. There are approximately 1,670,000 sound recordings held in M/B/RS with no bibliographic control. It is known that the bibliographic utilities (especially OCLC) contain large numbers of catalog records for sound recordings. LC staff will search the OCLC and RLIN data bases to see if cataloging records can be found for each recording. If a record is found, it will be printed out and given to a copy cataloger who will perform the necessary editing to make it conform to the Library's authority files. The record will then be entered into the Library's automated system and the sound recording will be made available for the Library's users. The computerized record will also be made available for other libraries through the MARC Distribution Service.

Potential Benefits. The Library will be able to make more sound recordings available for users. Others libraries will profit by being able to obtain an enhanced catalog record.

Volume and Commencement Date. The project will begin in late spring 1990. It is expected that approximately 2,000 recordings will be cataloged the first year. Approximately 12,000 recordings per year will be cataloged in subsequent years.

Duration. The project will be reviewed in 1991 to see if it is successful. If so, it will be continued indefinitely.

OTHER PROJECTS UNDER WAY

Mr. FAZIO. I am sure someone will look forward to this task. It shouldn't be too difficult.

Tell us any other good news you might have to report.

Mr. SHELLEY. Sir, I wish I had a whole lot. We do have other projects that are on the way. We are looking at some ways we can make better use of the resources we already have available to us.

We are hoping to be able to shift some technician labor into doing things that have traditionally been higher level work. We hope we can take advantage of some creative sources of resources to add to those we already have from the appropriated funds.

But we are going to be at full stretch in a very short period of time here.

Mr. FAZIO. Could there be some categories of material that would be, for want of a better term—I know this is horrible to say—discarded? Could there be some items that have been, because of elapsed time, become of such low value, that you wouldn't need to do anything but warehouse them?

Are there some items that you could donate to other libraries or museums—you mentioned the Indian Museum earlier. Are there items of such importance to other institutions that in the priorities that you establish, they would be handled more expeditionally by another entity.

POSSIBLE LOSS TO POSTERITY

Dr. BILLINGTON. Let me speak to that. That is one of the most profound and serious responsibilities I think anybody in my position bears.

When you consider the amount that is unique in the Library of Congress, you realize that we get 31,000 items a day delivered to this place of which we keep between 6,000 and 7,000 a day. Some of the most important decisions are decisions made what to throw out. A lot of it is leaflets, pamphlets, the sort of junk mail we all get which doesn't require a great deal of sorting. There are a lot of important decisions even at that level.

We don't begin to keep everything we get. We redistribute and recycle as I have already stated. But when you realize that much of what we would discard, there will not be any other copy left for the human race, you realize that you are playing God a bit in terms of what our grandchildren are going to need to know and want to know, which is never the same as what contemporaries think.

Therefore, when you have a collection of this magnitude and breadth to amputate voluntarily a large chunk of it—it is unrealistic to think anybody else will keep it up—it is gone. We could technically transfer it to state library X or to university Q; but they don't have any more means to process this than we do. So it is basically gone.

Mr. Fazio. That may or may not be true. I can imagine you are correct in some cases; but in other cases, it may not be. In fact, it is not available if it is not cataloged. It is not really there.

Dr. Billington. What I am saying is, it is there because we can't process it. If you transfer it, it is not likely to find anybody else to process it.

The marginal things are likely to be marginal to somebody else.

Mr. Fazio. I understand.

Dr. Billington. What you could do——

Mr. Fazio. I mentioned the Indian Museum as an example. Items that might be marginal to you, might be central to them. Yet you would not be the repository of first and last resort.

I wonder if that isn't bothering you a little?

Dr. Billington. De-accessioning is a different problem. There are many ways one could discuss that. I have had some discussions with the Archives and with others about the possibilities of trades of things that would be more rational if one person had them. I think there is a serious possibility there.

In terms of more efficient division of labor, we gave the Archives the Declaration of Independence and the Constitution for display purposes years back, but we still have the basic drafts and papers of the presidents and things that generated it.

LIBRARY OF THE FUTURE

Mr. Fazio. You know where they are if you want them.

Dr. Billington. I think it would be a mistake to go down that route without considering all the consequences, because there is a unique advantage to scholars, I think to governments, and to national memory in having so much concentrated in one place, where you can cross-reference things, where you can see things from different languages, different periods, different media; etcetra. Indeed, if you remember on our organizational chart, part of the whole rationale of this reorganization was to prepare for the future. The wheel you remember. On our organizational chart was designed so that if you have an intellectual question, it requires material in different languages, in different formats, increasingly, and it is all available to you.

The study of politics increasingly requires television materials—we are engaged in interesting discussions with the Annenberg people about a more systematic archives for the future. I don't think you will be able to understand politics without having this as a reference tool in an archival sense.

We see this as the library of the future, and this place is often the only place that has the capability of doing it. I would be reluctant to get into a position where you erode away the possibility of keeping a universal collection that offers those cross-referencing possibilities in one place.

Mr. FAZIO. It comes to mind that we think of the Library as the national data base for research materials. It may be that the Library will refer the user to other libraries such as the University of California or the National Indian Museum, but you are the primary source. The library is the one place where users can go to determine the location and availability of materials.

It may be that we have to think of the library as an automated data base rather than a library that contains a copy of all materials.

That is a different approach than what the Library has traditionally taken.

Dr. BILLINGTON. By that approach, the logic would be for us to de-accession Chinese, Japanese to some area where there are a lot of people that would be using it. De-accession Russian and so forth.

Mr. FAZIO. It would take a serious decision to make that kind of move. But yes, it might come to a point where Chinese scholars would go to two or three libraries instead of one and the key is that the Library is aware of what would be immediately accessible to Chinese scholars. Certainly, the Library should be in a position to say, "you will have to go to the University of California for that."

Dr. BILLINGTON. I think you have to distinguish between two things. There is an emerging library without walls, shared data base which is going to theoretically be accessible in your own home, certainly in your own local library within a finite period of time. We are going to be actively working toward this with all the energy we can to be a participant in and a helpful catalyst for creating such a library.

But this is further off probably than most people think—and there will be even then a tremendous advantage to the United States for the rest of this century and probably well into the next to have what nobody else has. That is: a universal collection in one place accessible within an hour and a half for anything at the behest of the United States Government and at the communications center of America as a productive society and state.

Now, that I think is a tremendous advantage for our educational recovery and for our international competitiveness. If you started today, you couldn't build up such a reservoir of knowledge.

VALUE OF THE COLLECTIONS

One of the reasons the GAO audit is taking so long, they are trying to figure out how much is the collection worth. There is no way of putting a price on how much this collection is worth. But its actual worth evaluated, however we end up evaluating it, will be infinitesimal compared with its potential value to the United States as a productive, competitive economy in the new information age.

Information-based work is the basis of the economy. To have the largest source centrally located, have it all in one place is just an incalculable asset.

We also have an enormous network of very substantial and excellent research libraries' but it would be a great mistake to think that that somehow is a substitute—or that the Library of Congress should just become one of a number of such people. We should trade Chinese things to somebody, get all the Russian stuff here. Trade this or that. There is an enormous advantage, I think, to the entire library profession to have the material in one place.

DEVELOPMENT OF SPECIALIZED COLLECTIONS

Mr. FAZIO. I can tell I am doing a little ox goring here.

Dr. BILLINGTON. One of the things the Library of Congress is able to do that is quite extraordinary is to permit really local research libraries to concentrate much more exclusively on the things that they specifically need for their faculties, for their traditions. So they can develop specialized collections that include a lot of things the Library of Congress won't have. Because they know there is that central backstop, they can get their books on inter-library loan free from us. They can get an answer to their inquiries.

They are going to be able to have a good chance of getting duplicates that our overseas stations will purchase abroad for them as we do for so many libraries and so forth.

This network does exist, but our contribution is far greater by being a unique entity than by being just one of the trading depots.

Mr. FAZIO. I understand. I really do. I don't mean to in any way diminish the role of the Library as that central entity. I am just overwhelmed by this arrearage problem.

I am convinced there are probably a number of libraries or other museum-like entities that may find some of this material that has fallen down to category 5 closer to category 1 for them in terms of what they are all about and the marketplace they are trying to meet. That is the reason that I am letting my mind wander a bit.

Mrs. Boggs?

LIBRARY COMMUNITY ASSISTANCE NEEDED

Mrs. BOGGS. As your mind was wandering, so was mine. I began to consider the lobbying that would go on among the various institutions to get to the collections at the Library and to have it known who is going to monitor that. Would that be a process of this committee? Of the Congress?

Mr. FAZIO. I would think the Library would have to make those judgment calls. Of course, the question of whether any Library would lobby for the material would relate greatly to whether they had the money and resources to do the work.

Mrs. BOGGS. You mentioned the Indian Museum. We know the great difficulties we had just between interests in New York and the Smithsonian. I think we should get those institutions and universities, libraries, et cetera, museums, who would like to have category 5 on-line to come and help with the arrearage in those regards and put some scholars on to it.

Mr. **Fazio**. Send a team to Washington?

Mrs. **Boggs**. Exactly.

Mr. **Fazio**. I bet that could be arranged. Then the interns and the others who are helping now might be far more productive given their background and training.

Has that been considered? Is that a potential pilot project?

Mr. **Shelley**. That would fit in with what I meant by alternative resources. Library brigades, if you will.

Mr. **Fazio**. The best kind of brigades; to the barricades.

Let's work down the arrearage.

Anyway, I am overwhelmed when we are asked to add all these new positions and really discover it is not even fully cauterizing the wound that is continuing to flow. It is a mind-boggling problem, one that went far beyond control.

We have talked about it in the past, but never with this degree of angst.

Ms. **Avram**. I believe it is safe to say we catalog more than any other individual library in the world.

ACQUIRE SYSTEM

Mr. **Fazio**. Yes.

What is the Acquire system?

Ms. **Avram**. The Acquire system should be at its phase 1 level of operation in 1991. It is a Library-wide system that will take care of acquisitions throughout the Library and it is a system that will be connected to the bibliographic system and the serials management system.

So the Library for the first time will have a large integrated system to take care of its acquisitions and permit the staff and the users of the Library to find out the status of the records.

They will know something is on order or something is in process or something has been completely processed.

WEST AFRICAN FIELD OFFICE

Mrs. **Boggs**. Mr. Chairman, would this be an appropriate time to talk about overseas acquisitions?

Mr. **Fazio**. Yes.

As a matter of fact, I was going to ask about the West African field office.

Mrs. **Boggs**. I had a letter from a librarian who supports the proposal to establish a permanent office in West Africa. I also had some apprehension expressed by another librarian about including in the Library of Congress budget, a million dollar to enhance the collection of foreign materials through the establishment of the overseas field offices. The criticism that was expressed was about the establishment of a field office in Mexico City, is that they feel it is unnecessary and could be counterproductive to an informal acquisition program that apparently has been going on that serves in their consideration the Latin American bibliographers in the United States libraries.

They feel it is a good program going on with the private sector and that they feel if it isn't broke, why fix it?

Mr. Fazio. Mr. Lewis is very interested in the latter issue.

In fact, I have some questions from Mr. Lewis to be submitted for the record.

[The information follows:]

Questions Submitted for the Record by Mr. Lewis

LIBRARY OF CONGRESS

MEXICO CITY OFFICE

As the Library's plans to establish a field office in Mexico City. My fear is that the plan submitted by the Library remains inadequate.

Question. Can you please tell me exactly who provided input on the plan submitted to this committee?

Response. In our planning for the Mexico field office, a number of university and research libraries were surveyed regarding the need for his facility. Based on the results of these surveys as well as the needs of the Library of Congress, a plan was prepared by the members of the recently established "Mexico Office Management Coordinating Committee" and the Director for Acquisitions. The committee is made up of the chiefs and appropriate staff of the Overseas Operations Division, the Exchange and Gift Division (which includes the Hispanic Acquisitions Section), the Order Division, the Hispanic Division and the Collections Policy Office.

Question. Can the Library assure this committee that several alternative plans for the office were fully debated?

Response. Alternative plans were presented to the committee and taken into consideration in formulating a general "Plan of Operation for a Mexico and Central America Regional Acquisitions Program." As the committee explores and defines more detailed plans, policies and procedures for this program, the proposals represented in these alternative plans will be discussed more fully. Time constraints for the preparation of the general plan did not permit this level of analysis.

Question. Clearly this committee's concern is and has been the Library's substantial unprocessed arrearages. Would cataloging be the primary job of the Mexico City Office?

Response. As with all of our overseas offices, cataloging is considered to be an important activity but is a by-product of the major focus of these operations (which is the acquisition of materials for the Library's collection).

Question. Has the Library considered a plan where cataloging would be the sole/primary function of the Mexico City Office? If not, why not?

Response. The Library has not considered cataloging as the sole function of the Mexico Office. This is because our mainstream cataloging operations require systematic access to files, reference tools and other support facilities here at the Library, and the overseas offices in general are viewed in an adjunct or peripheral role. As the plan indicates, however, a cataloging function is considered to be an important component of the office as part of our effort to reduce the growing of unprocessed arrearages—for the intent is to have the office catalog the materials it acquires for the Library (rather than have these materials be added to arrearages in Washington).

Question. Will this Mexcio City Office be selling or offering publications to non-U.S. libraries?

Response. As with participant programs in other overseas offices, if a program is established in Mexico participation is not limited to U.S. libraries.

OVERSEAS OFFICES WORTHWHILE

Mr. Fazio. You might want to speak about both of those offices.

Dr. Billington. We will be happy to speak about them in more detail, if you like.

First of all, the question about overseas offices in general—if you want to point towards maintaining a universal collection as we are trying to do, but at the same time selecting it more carefully and saving money all the way down the line, the more quality selecting you can do at the first point of entry, the more cataloging you can handle at the first point of entry, the greater the economies all the way down the line. Overseas offices offer this opportunity.

You don't have a whole lot of sorting, a whole lot of labor.

Overseas offices have been proven to be extraordinarily effective in building up some of the Library's most distinctive collections.

We have experience in East Africa, our East African holdings used to be really pitiful.

Since establishing the East African office, they are becoming among the best in the world, in many of the cases, better than any collections available in those nations.

West Africa is more important economically to the United States, includes countries like Nigeria, the largest country in black Africa, one of the most interesting ones, a great Federal experiment.

We have very poor holdings in West Africa. This is clearly, based on the concrete experience of the East African office, the best way to get it is to be there on the spot.

I think the support is virtually unanimous among people who seriously collect in this field in this country—research libraries—because this is what is standard with all those things. They use our services.

We used to have rather indifferent Brazilian holdings until we had someone there to collect for us.

Once we established an office in Rio, you get things you don't get through normal exchanges and even book buyers. You are able to make a selectivity that you simply don't have when you rely on blanket orders from book dealers. They have an interest in selling you as many as they can.

Above all, you have people collecting things that aren't generally available—non-mainstream literature, opposition literature, democratic pamphlets, other non-commercial publications that are very difficult to acquire systematically without some kind of local presence.

So for those kinds of things, in particular; and for the kind of informal or even formal Government and local Government publications.

These people tour the country buying books—I should have brought Lygia Ballantyne who ran our Brazilian office. The Brazilian collections are among the most distinguished collections on Brazil anywhere in the world.

MEXICAN AND CENTRAL AMERICAN COLLECTIONS LACKING

Our Mexican and Central American collections have not kept up with that level of quality.

It seems to me the degree of interest certainly from the Congress about Mexico is very substantial.

Now there is a problem, and it is a legitimate one which we have discussed at length with book dealers who have established patterns of sales and so forth with—and we are going to honor that and try not to interfere with them. We will work with them in a cooperative manner. We have had rather extensive talks in that regard.

Mr. **Fazio**. Isn't that the problem with the Mexico City office? Book buyers in Southern California are concerned about being moved out of the way?

Dr. **Billington**. We will try to work with them so as to continue to honor and work with the established relationships book dealers have with libraries.

There is a whole group of public libraries—we found in looking into this—that are concerned with getting reading materials for their Hispanic populations which this office would be able to serve effectively.

They are extremely anxious. I don't know how many of them you have heard from. We have heard from an awful lot. They are extremely interested in this.

That is another area just as we serve with our duplicates the prisons and Indian reservations, so the Hispanic community that are dependent on their public libraries very much in hope we can acquire materials for them.

A number of the State libraries are interested—including the State Library of California—in working with us in this acquisitions effort.

I think it is perfectly possible to expand the range of our efforts—no one can say we know enough about Central or Latin America.

I had a Latin American program at the Wilson Center. They always used to say I will do anything you want about Latin America except read about it.

We have to read more about it. Interest is rising.

The number of questions and the number of people that have questions is rising.

I don't see the people with established businesses have any need to be apprehensive. I think this is an important supplement.

Mr. **Fazio**. It is a growth industry?

Dr. **Billington**. A growth industry. I don't see why the Congress of the United States or the United States Government should not get the same benefits in an area as important to us as Mexico and Central America that they are already getting from West Africa, Pakistan, Indonesia.

Mr. **Fazio**. You are saying that you can't be adequately served by these book purchasers?

Dr. **Billington**. I am not saying they don't perform a useful service. I am saying there are additional services that are important to be added if you are the national library of the United States. We need to know as much as we can to be on top of information about changing political scenes. The informal pamphlets are very important.

VALUABLE EXAMPLES

If we had not had a touring acquisition agent pick up things on the Left Bank in Paris, we would not have had the only collection of Khomeini's talks that were around.

If we hadn't had Lygia Ballantyne, we wouldn't have the record of the movement toward democratization in Brazil that we now have.

These things are really worth their weight in gold.

If we hadn't had in the Law Library an expert, particular expert on Panamanian law, the United States Government wouldn't have been as well briefed as it was on the situation that they were forced to deal with during the crisis in Panama.

Those people are hard to replace.

So we are called on for an unpredictable variety of things.

It seems to me for the small amount of costs, for the likelihood that it is going to produce reimbursables from people who aren't using these other sources, there doesn't seem to be a major problem. I think progressive businesses don't try to keep other people from getting in business.

I am sure the book dealers who have a useful market of their own wouldn't be hurt when they fully look at what we are trying to do.

Mr. **Fazio**. Have you met with these people?

Dr. **Billington**. Yes.

Our people met and talked with them a good deal.

BOOK SELLERS APPREHENSIVE

Mr. **Fazio**. Obviously, they are still anxious.

Mrs. **Boggs**. Mr. Chairman, it is my understanding, Jim, that there are Latin American bibliographers who have more or less had to ferret out and set up their own network of information and of supply.

They have indeed been able to find several different sources of this information and books and that the sources have themselves been in the area for sometime, have a difficult time finding the materials, procuring the materials, and have finally set up a network and a financial operation which can indeed collect the books that the Latin American bibliographers need and want and that they provide them at apparently a reasonable cost. The bibliographers are satisfied with this system that they have worked out.

I think one of the apprehensions was that the Library would make arrangements with the sources of material and buy things wholesale and bring them back to the various institutions, in the United States; and that it would put these book sellers at an economic disadvantage.

Dr. **Billington**. I think the people who have done this aren't familiar with how our overseas operations operate. Our people aren't looking for things to do that are already being done efficiently.

If the book sellers have that kind of network, they will use them. They will buy directly from them rather than replicate it.

These are always almost invariably pioneering institutions. Mexico is a big growing country, becoming more literate and more voluble in what it has to say and the countries of Central America are printing up all kinds of ephemeral material that is of great importance. There is room for a lot of different kinds of enterprise.

The people who may be telling you that there is a limited field, they have defined it, and there is no room for anybody else, are just not talking about the real world.

We have spent a lot of time talking to them. But I think maybe we haven't talked with this particular group of people.

I think they will see, as most people have, you won't find a large body of objection, I think, to the way our overseas offices have operated.

They will, in fact, benefit from such networks where they are because there are so many other kinds of collection.

It is not going to be a large operation.

I think I should tell you, Mr. Chairman, these things are important to the Library if you want quality selection.

If you want us to cut down on the numbers of books we are buying and buy more efficiently, this is one way to do it. One of the benefits to the Library is that we have people from the research universities stop in our overseas offices to share information on collections policy.

We get free consultation and advice from other universities who stop in at these regional centers. They become information points for everybody, including the book dealers and the book sellers.

There is plenty of room for more and I think it is very important that the Library of Congress operate in a way that is going to be cost effective for the long term.

I think we can operate in a way that is not going to be harmful to the established field.

In fact, we use their services.

This is the standard way our people operate.

Mr. FAZIO. In West Africa today, are you using book dealers in lieu of having an office there? How do you get materials from West Africa?

Ms. AVRAM. We have an office in East Africa in Kenya.

Mr. FAZIO. You are getting nothing from West Africa?

Dr. BILLINGTON. We get things on exchange, on purchase, but very little compared to what you get if you have an office that covers all of the area.

Ms. AVRAM. With the exception of Nigeria, where there is a more fully developed book trade. Africa is such an immense continent that a presence there, I think, would be very meaningful.

Mr. FAZIO. I understood that the request for $239,441 was to establish one there, but I was just wondering what you are doing today to get materials from West Africa versus what you would have several years from now.

Of course, then that means additional costs, but that is again what the Library is all about.

Ms. AVRAM. It takes a presence to be able to get sufficient material.

Mr. FAZIO. You don't have book sellers in West Africa, you are competing out there on the edge of formed society.

Mrs. Boggs, do you have any further questions in this area?

Mrs. BOGGS. No, thank you.

Mr. Fazio, I have some questions on the preparation of books to be answered for the record.

[The questions and responses follow:]

PREPARATION OF BOOKS

Question. Update the cataloger and production data on page 383 of the FY 1990 hearings.

Response. Processing Services had at the end of fiscal year 1989 professional catalogers/classifiers divided among the following operational units:

Decimal Classification Division	9
Descriptive Cataloging Division	80
Serial Record Division	29.5
Shared Cataloging Division	72
Special Materials Cataloging Division	22
Subject Cataloging Division	65
Whole Book Cataloging	27

The number of titles cataloged/classified and the average productivity (titles/hour) for each division is:

	Cataloged/ classified	Titles/hour
Decimal Classification Division	103,128	7.65
Descriptive Cataloging Division	80,838	1.21
Serial Record Division	8,791	.46
Shared Cataloging Division	60,375	.82
Special Materials Cataloging Division	7,018	.51
Subject Cataloging Division	167,762	1.93
Whole Book Cataloging	1,977	....

Six of the seven divisions have a backlog of some form. These backlogs can be divided between older materials (generally before 1981 and considered an old backlog) and more current materials (generally after 1980 and considered a working backlog). Only the Decimal Classification Division has no backlog since it is allowed to send materials on without having taken any action on them because the Library of Congress does not use the Decimal Classification system to arrange its materials. The remaining divisions must process all materials.

Descriptive Cataloging Division. Old and working backlog: approximately 130,000.

The backlog consists primarily of materials in English, Spanish, Arabic, Chinese, Korean, and languages of South/Southeast Asia. The backlog declined during FY 1989 by approximately 20,000 titles some of which was due to the transfer of approximately 3,800 titles to the Whole Book Cataloging Project and 900 unsearched titles to the African and Middle Eastern Division.

Serial Record Division. Old backlog: approximately 15,000 titles. Working backlog: approximately 6,100 titles.

The old backlog, to which no titles have been added since 1972, contains serial material in many languages. The backlog is gradually being cleared either by providing cataloging or by deselecting those titles no longer wanted for the Library's collections. In FY 1989 about 3,000 titles were handled.

Shared Cataloging Division. Old backlog: approximately 61,500 titles; working backlog: approximately 39,000 titles.

This backlog consists primarily of monographic material in western European languages and Japanese. During FY 1989 the total backlog increased by about 11,000 titles in spite of the transfer of approximately 3,000 titles to the Whole Book Cataloging Project.

Special Materials Cataloging Division. Working backlog: approximately 20,000 titles.

This backlog consists almost of nonbook material (music, sound recordings, and audiovisual materials). During FY 1989 the backlog grew by approximately 2,000 titles.

Subject Cataloging Division. Working backlog: approximately 55,000 titles.

This backlog consists primarily of lower priority, foreign language material. The backlog decreased during FY 1989 by approximately 10,000 titles, much of it due to a transfer to the newly created Whole Book Cataloging Project.

Whole Book Cataloging Project. Working Backlog: approximately 15,000 items.

This backlog consists primarily of lower priority, foreign language material and resulted primarily from a transfer of titles from the Descriptive, Shared, and Subject Cataloging Divisions when the project was created in May 1989.

Question. Assuming these 16 positions were funded, provide another table comparable to the previous one which tabulates the estimated FY 1991 productivity of general collections cataloging. Indicate the beginning and ending backlog.

Response: the figures in *Receipts* in the table below show the projected number of titles to be received for cataloging in fiscal years 1990–1992. II. *Cataloging* shows the projected output (productivity) for the same period. III. *Arrearages* shows the growth of the arrearages (backlog) during that period. Only two of the sixteen positions requested for FY 1991 directly affect productivity and backlog. Those two will handle the projected 3,480 title increase in cataloging based upon accepting 43 percent of the 8,000 titles created by the additional participants in the National Coordinated Cataloging Program (NCCP). The additional 14 positions requested for processing and cataloging will provide for the handling of approximately 7,100 items only at the beginning of the processing stream. The staff required to complete the process are included in the request for the funding of the 28 unfinanced catalogers. These 28 unfinanced positions would result not only in the completion of the 7,100 items but also the cataloging of an additional 10,000 items.

RECEIPTS, PRODUCTIVITY, AND BACKLOGS WITH 16 NEW FY 1991 POSITIONS [1]

	Books and serials		Special materials	
	Number	Percent increase	Number	Percent increase
I. Receipts:				
Fiscal year 1989 receipts	200,627	4	4,566	21
Projected fiscal year 1990 receipts	208,652	4	5,479	21
Projected fiscal year 1991 receipts	216,998	4	5,698	21
Projected fiscal year 1992 receipts	225,678	4	5,926	21
II. Cataloging:				
Fiscal year 1989 titles	208,016		5,532	
Projected fiscal year 1990	202,361	3	4,662	16
Projected fiscal year 1991	205,801	2	4,662	
Projected fiscal year 1992	205,801		4,662	
III. Arrearages:				
Fiscal year 1989	324,648		20,375	
Projected fiscal year 1990	330,939	2	21,192	4
Projected fiscal year 1991	342,136	3	22,229	5
Projected fiscal year 1992	362,013	6	23,493	6

[1] Does not include the 28 unfinanced cataloging positions.

ACQUIRE SYSTEM

Question. What would total annual personal and non-personal costs be? What is the capacity of the system in terms of the extent of the Library's collection that could be monitored?

Response. The total annual personal costs will include our current staffing level for acquisition operations (182 positions) plus an additional 5 positions for initial implementation of Phase 1 of ACQUIRE. These 5 positions are for Library Technicians which are reflected in the FY 91 Budget Submission for Preparation of Books. The annual non-personal costs for Phase 1 operations are estimated to be approximately $10,000 (which covered the maintenance costs for 200 workstations).

ACQUIRE is being designed to handle eventually all materials acquired by the Library. Phase 1 will accommodate purchased material (approximately 20% of our current receipts) and a portion of our exchange and gift receipts.

PRESERVATION PROGRAM

Mr. **Fazio**. Mr. Yates has gone to another hearing, I regret, but I would like to talk about preservation. The request is $8.6 million and 123 positions.

Could you tell us how the deacidification project is going and give us an update on the pilot plan?

Dr. **Billington**. Mr. Curran will come up here—he has had a lot of experience with it.

In brief, we have finished the very extensive testing of the DEZ project at Deer Park in Texas.

We have also licensed out that technology through the Commerce Department.

Meanwhile, the investment in developing that technology and testing it fully has been completed and that will be licensed out and presumably they will be putting it into production soon, the diethyl zinc process.

We are issuing a request for proposal for the mass deacidification of our general and law collection.

The request will be advertised in Commerce Business Daily in mid-April.

A contract for the work is planned for the end of this calendar year, so if you allow a year beyond that for construction of the facility, it is expected to reach production levels in 1992.

We are onstream with an orderly process of putting that out for bids and we will presumably be able to move into mass deacidification then and come to you in the budget next year with a proposal for actively doing that.

CONSIDERATION OF OTHER TECHNOLOGIES

Mr. **Fazio**. We have asked you to consider some of the technologies which are competing with the diethyl zinc (DEZ) process.

I understand the British have recently announced a breakthrough in the polymerization research area that might prove useful.

Have you looked at that process and are you considering any other approaches as you move forward?

Dr. **Billington**. Don can supplement everything I say here and correct me if I am wrong, but, of course, we are aware of a variety of different technologies.

The British one is essentially a paper-strengthening technology.

Preliminary tests which we have access to so far indicate that it is very good in strengthening the strong, but not so much in strengthening the less strong paper.

Of course, we are studying it along with others.

All the technologies and different approaches will be free to compete for our contract, but again, our needs are for a very large scale—it is very pressing need.

As you know, we lose every year, 77,000 volumes which cross the line into embrittlement, that means that they are functionally useless as artifacts.

Mr. **Fazio**. Some day, some of our books will not only not be in arrearage status, but will be in deteriorated condition when the time arrives to catalog them.

Dr. **Billington**. I might mention there are six processes in particular, the Akco-Chemical, which is the DEZ process; Archive Preservation; Book Preservation Associates such as ethylene oxide and ammonia; Lithco Company, a magnesium compound; Preservation Technology, a magnesium process; and Union Carbide, a magnesium carbonate.

All expressed interest in performing in response to our request for information in July of 1989 and all of their respondents were reviewed and analyzed so concerns expressed by the vendors are reflected in the specifications for deacidification of Library collections.

The goal is preservation of all new and retrospective collections during the 20-year period beginning 1992 and lasting to 2011 on a mass scale, approximately a million books a year.

There are a number of competing technologies which we anticipate will try to provide the service. That is the schedule we are on.

What have I left out, Don?

EXPERT PANEL TO REVIEW RFP

Mr. CURRAN. Perhaps we ought to mention one of the concerns, how are we going to assure fair treatment to everybody?

I believe that is a concern of the committee and certainly a concern of ours.

We have developed an essentially performance-based set of specifications and we have been working with the GAO on this, Tom Johnson, and we have used Peter Johnson from OTA who is going to chair the contract review and recommending panel.

On the 14th and 15th of February, a group of distinguished experts from around the world will be meeting to look at what we have done and give us critical comment, is this fair or not fair?

Based on that review, we expect to go public with our RFP and invite everyone to bid the deacidification processes which they have to offer.

We are interested in the best deal for the government and the Library

I think this will be an exciting time for us to see what everyone has to say about their deacidification processes.

A year from now, we hope to be able to say we have done it, which for some of us will be a delight.

Mr. FAZIO. We have been talking about preserving books for the past 10 years.

Mr. CURRAN. The panel we expect Peter Johnson to head will look at the responses at several levels, a business as well as technical level and recommend to us that respondent to the RFP that looks like they can do the job.

We truly hope we can make an award. We have some millions of dollars left over from the original $11.5 million appropriation to make that award.

In 1992 and 1993, we will be back again with requests for funds for continuing to deacidify a million books a year.

I am moderately optimistic this is going to happen in the next year.

MIDEMA PROJECT

Mr. FAZIO. Thank you.

What about the MIDEMA microfiche project?

Dr. BILLINGTON. That is the preservation microfilming project.

Mr. FAZIO. How many other libraries are helping on this one?

Dr. BILLINGTON. There are 20 to 30 research libraries that are contributing in various ways.

There are really three parts to it. This is microfilming deteriorating materials. It has been ongoing since 1968.

The Library of Congress has done 40 percent of the nation's work in this field.

It covers microfilming of retrospective brittle volumes from the general and law collections.

These volumes are prepared and recataloged for the microfilm format prior to the original being forwarded to the service for filming.

A second area is to purchase commercially available microfilm related to current journal subscriptions, serials and motion pictures.

That is analogous to cataloging.

The third area doesn't involve microfilming.

Two examples are preservation of photographs by film and preservation of old recordings by copying onto tape.

There is close cooperation with research libraries. We benefit from other research libraries subscribing to the titles we microfilm on a continuing basis.

In fiscal year 1989, the Library's Photoduplication Service provided 4,462 reels of positive microfilm on subscription orders from other libraries, and sold a total of 16,676 reels of positive microfilm of brittle materials previously microfilmed under the program. We don't know the total number of libraries ordering these microfilms.

In the general area of photoduplication, we have had one of our most creative consultative experiments involving the staff.

I think morale boosts for our people and a great gain for the Library resulted from the emphasis of our reorganization was on developing consultative processes as in the Law Library and in the information technology area. We have had three excellent experiments involving the entire staff and coming up with creative ideas about how to do these processes better.

So I look forward to benefits from these in the years to come as well.

COOPERATIVE INSTITUTIONS

Mr. FAZIO. Could you put in the record, for purposes of identifying the cooperative institutions, the names of those research libraries?

And to some degree, if you can, their level of participation.

QUESTIONS FOR THE RECORD

I also have some questions about the Preservation Program. Please answer them for the record.

[The questions and responses follow:]

LIST OF INSTITUTIONS THROUGHOUT THE NATION WHICH HAVE LOANED MATERIAL TO THE LIBRARY OF CONGRESS TO COMPLETE ITS HOLDINGS FOR PRESERVATION MICROFILMING

The following institutions have supplied missing pages or volumes on one or more occasions within FY 89 through LC Interlibrary Loan. It should be noted that institutions are contacted because they are listed in the National Union Catalog as holding the title(s):

New York Public Library; Cornell University; New York University; Union Theological Seminary, NY; Columbia University; Dartmouth College; Lyndon State College, VT; Virginia Polytechnic Institute, Blacksburg; University of Minnesota; University of California, Berkeley; Smithsonian Institution; University of Washington;

University of Virginia; University of Arizona; University of Illinois; University of Louisville; University of Georgia; University of North Carolina; Boston Public Library; George Washington University; Yale University; Miami University (Ohio); Florida State University; Virginia State Library; Cleveland Public Library; American Antiquarian Society; University of Michigan; Duke University; University of Delaware; American University; Amherst College; Colby College Library; Rice Institute, TX; University of Indiana; U.S. Dept. of Agriculture Library; U.S. Dept. of the Navy Library; Patent Office, WA; Regis College; Dallas Public Library; University of Chicago; Brown University; Northwestern University; Ohio Weslyan; Center for Research Libraries; Chicago; Southern University; Vancouver Public Library; and Princeton University.

The Institutions listed below have supplemented newspaper and serial titles which the Library has microfilmed, either through gift or loan.

Enoch Pratt Library Baltimore, MD; Balch Institute of Ethnic Studies, Phila, PA; Yale University; University of Texas; University of Massachusetts; Northwestern University; University of Minnesota; University of Wisconsin (at Madison); University of California, Berkeley; Duke University; Stanford University; and University of California, Los Angeles.

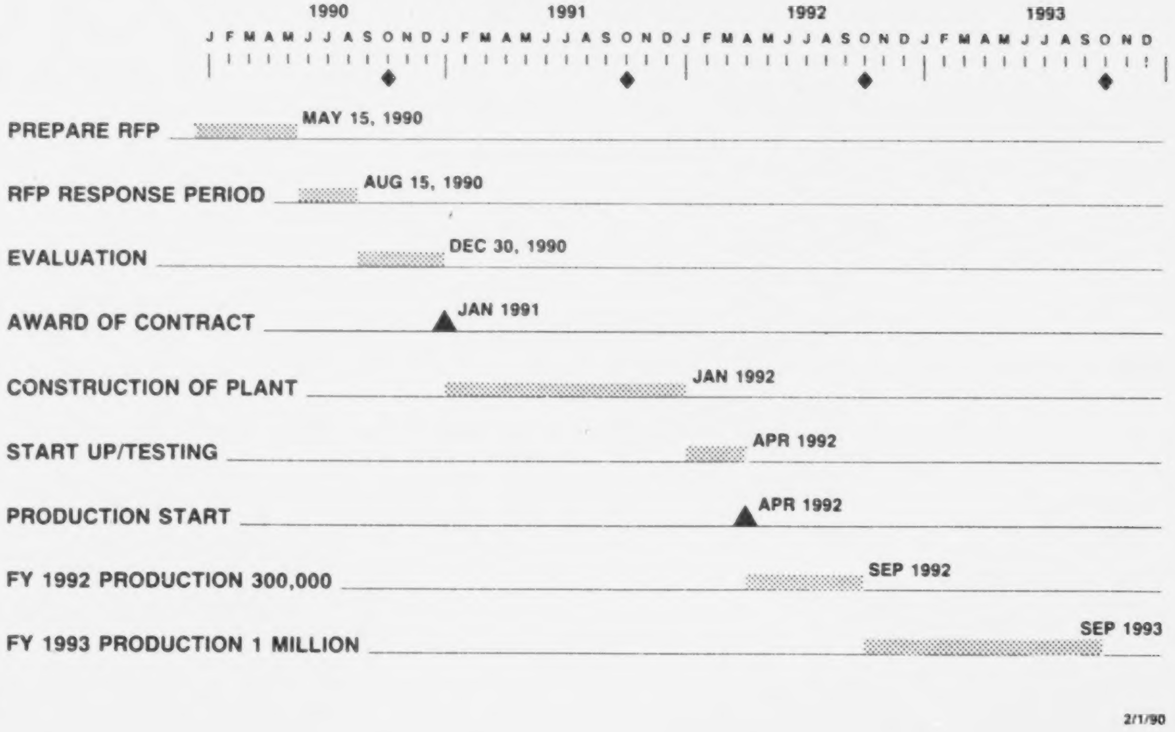
The amount of material loaned and the level of participation for each institution is not possible for us to determine with current statistics keeping practices.

Question. Update the deacidification chart on page 361 of the FY 1990 hearings.

Response. The requested chart follows:

MASS DEACIDIFICATION PROGRAM

PLAN FOR DEACIDIFICATION OF LIBRARY COLLECTIONS



MIDEMA PROJECT

Question. What about the MIDEMA (Microfilming of Deteriorated Materials) project? How many other libraries are participating? How much is your budget? What is total in cooperative project? How many items are being done at this rate?

Response. The Microfilming of Deteriorated Materials Fund (MIDEMA) supports internal Library of Congress preservation microfilming and reformatting programs with most of these funds devoted to preservation microfilming. Although there are cooperative components to executing the activities supported by the MIDEMA Fund, there are no funds specifically allocated for cooperative activities. Therefore, the MIDEMA program cannot be considered a wholly cooperative or interinstitutional effort.

However, cooperative activities are inherent in all Library of Congress preservation work. They include sharing our expertise and experience and managing and building an extensive and diverse preservation program with strong preservation microfilming operations. This includes publishing and distributing (through the National Union Catalog (NUC) bibliographic and location information about titles that have been microfilmed. Such operations serve not only our important LC national collections but enhance collections at other institutions by assuring that duplicate microfilming does not occur and that copies of LC preservation microfilm are available for purchase. Approximately 20 to 30 other libraries contribute directly to our preservation microfilming programs in a small but vitally important way by supplying materials for microfilming which are missing from the Library's collections and by acquiring copies of our preservation microfilm and recorded sound media.

We have long participated in and contributed to national preservation microfilming efforts by developing standards and specifications in preparation of materials for microfilming, microphotography and cataloging. As microfilming programs have evolved in other institutions and organizations, we have worked toward coordinating preservation microfilming with major institutions, organizations such as the Research Libraries Group, and also with the activities of the Commission on Preservation and Access as it builds a national preservation program.

As our major contribution to the national preservation microfilming efforts, we have continued to expand our internal preservation microfilming program which was greately assisted by Congressional action taken to double the MIDEMA subfund for microfilming of brittle books to about $1,000,000.

The total fiscal year 1990 MIDEMA budget is $1,902,755 and these funds are allocated among various divisions within the Library with major allocations to the Preservation Microfilming Office ($748,055), the Serial and Government Publications Division ($189,000), the Motion Picture Broadcasting and Recorded Sound Division ($123,500) and the remainder ($842,200) allocated to various collections area throughout the Library.

In fiscal year 1989, the Preservation Microfilming Office prepared 5,012,763 pages and 7,258 volumes for microfilming at a cost of $566,737. This is an equivalent of some 20,000 volumes.

PUBLIC SERVICE AND COLLECTIONS MANAGEMENT

Mr. FAZIO. We will now discuss the public service and collections management, special collection program. This is where the arrearage backlog is most extensive.

You might briefly touch on that. We are interested in knowing what it will take to reduce the growth of the backlogs to something close to zero.

Dr. BILLINGTON. I am glad you brought this up. Of that 38 million, 34 million of the arrearages are in special materials.

Mr. FAZIO. You have mentioned the NAACP archives and a number of others.

Dr. BILLINGTON. I will return to this in a minute.

I would say that in general we really do not know what it is going to take. I think we can make a couple of generalizations.

It should not be on a piece rate. It is not as expensive to catalog special collections as books, because we can batch materials in an area like architectural drawings. You can handle a lot of material under one entry.

The special collections—whether it is manuscript or prints and photographs which are the two largest, and to some extent music—should not take anything like the expense that is required for books and serials.

Serials are really our most crucial area in terms of the immediate needs of the Congress.

Special collections are not the most immediate needs for the business of the Congress and the Government, but they are a rich, untapped resource. One of the reasons we are doing a three-year set of pilot testings is to test different approaches to processing the various formats of materials.

We have to test several things. We have to test what the unit cost is of taking different approaches and also what you give up in terms of the cataloging record. A general feature of all this arrearage reduction is catalog simplification.

Ms. Avram has a series of careful steps planned. We don't want to lose the quality of bibliographical standards.

If you eliminate a whole lot of subject entries, you lose the ability to get things up on a computer which are dependent upon a subject entry.

There will be forms of simplification particularly in these areas that I think will yield some economies.

I will defer to Henriette and to Mike.

Ms. **Avram**. Are you talking about stopping the growth or processing the arrearage because they are two different things?

Mr. **Fazio**. We would be happy if you do the first.

If you could begin on the second, we would be ecstatic.

PILOT PROJECTS UNDERWAY

Ms. **Avram**. We have a series of pilots that we believe are the best way to try to do these things.

There are many cataloging simplifications underway. We have formed a cataloging council made up of people from all the special formats as well as books and serials so that their input is given on how best to catalog and reduce the growth of the arrearage and to dig into the arrearage itself.

I like to say optimization instead of simplification. It sounds better. That is underway.

There are five or six projects underway in that area.

Mike?

Mr. **Shelley**. I think the report that we submitted makes it very clear that the unit cost of processing the special materials is considerably lower than for the general collections, but that has to be weighed against the value of our cataloging of any given item to the libraries across the country and overseas that are using our records.

I don't think emphasis should be placed too much on either side. There has to be a balance.

Mr. **Fazio**. I won't dwell on this any further.

Since it is a new item in the budget, I thought we should take a special look at it.

Dr. BILLINGTON. I think over the next couple of years we will be able to report back on the pilots and give you a more focused estimate of what the cost benefit will be.

Mrs. BOGGS. Mr. Chairman, may I have an encouraging note?

In the Government Printing Office testified that 80 percent of the paper in its publications is acid-free. GPO is doing a great deal of recycling and using recycled papers. As a result, instead of costing more, it really has cost less.

So perhaps your job in the future would be reduced in some part by GPO's actions.

Mr. FAZIO. Let's hope that can some day be on our list of national historic treasures.

I have a couple questions on the Public Service and Collections Management to be answered for the record.

[The questions and responses follow:]

PUBLIC SERVICE AND COLLECTIONS MANAGEMENT

Question. There is an arrearage in the NAACP archives (694,000 items) for which you are requesting 5 positions. Will these resources process the entire arrearage in one year? Will others be assigned to this project? How many?

Response. Currently two people are assigned to NAACP, a GS–12 archivist and a GS–6 technician; they receive occasional assistance from others.

The current processing rate is 100,000 items per year. The addition of four new positions will bring the total processing rate to 300,000 items per year once the new staff have been trained.

Four additional positions (the fifth goes to Motion Picture, Braodcasting and Recorded Sound Division) would allow the Manuscripts Division to eliminate the current arrearage in approximately 2 years. However, material continues to come into this collection. When the current arrearage has been brought under control, attention can be shifted to (1) keeping current with incoming materials, and (2) processing the NAACP Legal Defense Fund materials, which have just begun to come to the Library.

Question. Explain the priority of eliminating this arrearage. What about some of your special collections arrearages—Look Magazine, the Brooke Papers, the Brademas Papers, the Kissinger Files—where are they in the priority?

Response. The NAACP Archive is the largest single collection in the Manuscript Division and ranks consistently as the most heavily used body of material in the division's holdings. In addition, the arrearage has known numerical boundaries which make it easier to plan for the necessary processing staff and materials to complete the task.

Look Magazine is lower in priority.

The Brooke Papers are being worked on at present.

The Brademas Papers are incomplete, and will be processed at a later date.

The Kissinger Files are unavailable to the public at this time.

CONSTITUENT SERVICES

Under Constituent Services, another new item, you request 11 positions to track the movement of books.

Now does this relate to the Acquire tracking system you were talking about a minute ago.

Dr. BILLINGTON. That is separate.

The Acquire System deals with books before they are physically placed in the collections. Collections control deals with the location or exit control on the physical entities as they are in and move through the Library's collection.

This will enhance existing essentially manual operations in expanding our ability to track collection items.

It will improve our security of the collections and enhance our ability to deliver books to readers by using the on-line circulation process to record bibliographic information about materials as they are selected; identify books removed from the shelf; and record where it is; track and monitor use of the books in libraries for long-term scholars; and record missing materials discovered through reader requests and inventory procedures.

The collections control system is for monitoring the physical location of material as it moves within the Library.

As more people borrow and use books, it is important that you have this kind of a control and it is an area where automation can supplant a lot of very time-consuming manual procedures.

BAR CODE LABELS

Mr. **Fazio**. That is what I figured. That is why I was surprised that you were talking about 11 additional staff.

How many do you have now in this area of responsibility?

Mr. **Curran**. These people are located in the Collection Management Division, people who move books around and about.

On page 898 of Part 1 of these hearings we have a little bar code which goes with this as well, for which we are also asking $80,000 to buy the bar code labels.

The idea is to automate our inventory control system. Ultimately we would like to have piece control over 14 million books. It is done by putting this bar code on each of the books. This can control the book as it moves around the buildings and out of the buildings.

We have now developed a software—Mr. Becker can testify more expertly than I to using that bar code to control books as they move out of the Library on loans.

You have to connect the bar code to the bibliographic record. That is what we are talking about, to manage these collections efficiently and effectively through use of automation.

Mr. **Fazio**. These 11 individuals will help——

Mr. **Curran**. The big thing is to link the bar code label to the bibliographic record. That is labor-intensive, like everything else we do.

Mr. **Tabb**. The objective is to know where every item is at all times.

Mr. **Fazio**. When do you think you will be completely in control of your inventory?

Mr. **Curran**. It will take a long time to label and link 14 million books, ten years to fifteen years.

You will see the useful results quicker because the things that are used most often are called out repeatedly.

We think it will take five years or so to begin to get the power of the system working.

Mr. **Fazio**. I have a question to be answered for the record.

[The question and response follow:]

Constituent Services

Question. What resources and funds are now utilized to control the inventory and loans?

Response. Constituent Services now has the equivalent of 33 full-time technician positions assigned to the operations of the inventory and loan charging activities at an annual cost of $889,000. However, because of the high lapse rate, we are not able to fill all of these positions on a regular basis. The eleven positions requested in the FY 1991 budget will improve the Library's ongoing collections control activities by enhancing the existing manual operations and expanding our ability to track collections items. These new positions, as well as the existing positions, will be used in the Library's overall plan of providing an automated tracking system for monitoring the physical location of material.

Mr. FAZIO. Mr. Lewis has provided a question which he would like to have answered for the record.

[The question and response follows:]

QUESTION SUBMITTED BY MR. LEWIS

Question. I understand that the Library is seeking statutory authority to raise its license fees for the use of the MARC tape service. I have heard from several librarians within my County who are concerned that this fee may go far beyond the cost of providing MARC service in order to fund other operations of the Library. Will this fee "go beyond" providing the MARC service? Is the Library certain that such an increase in fees will not jeopardize libraries abilities to continue in cost sharing?

Response. The MARC licensing proposal issued in July 1989 was not intended to "go beyond" the costs of replication and distribution of MARC services. Library staff have had extensive consultations with the library community on this issue, including detailed discussion of the plan at the midwinter meeting of the American Library Association last month in Chicago. The Library's objective in proposing the licensing agreement was to recover full costs plus ten percent for the distribution of MARC tapes, as required by law, while recovering these costs with the least possible impact on single-institution subscribers. Since the Library has been able to accomplish this objective by across-the-board price increases in January, the Librarian of Congress has decided to withdraw the licensing proposal as it pertains to the distribution of MARC records to U.S. subscribers.

Mr. FAZIO. Mr. Porter also has a question to be answered for the record.

[The information follows:]

QUESTION SUBMITTED BY MR. PORTER

Question. You are requesting $2 million for Constituent Services at the Main Reading Room in the Jefferson Building. Could you tell me how this amount compares to what we spent for those services before the renovation?

Response. The total increase requested for all of Constituent Service is $1,990,934. This increase includes 21 new positions and financing for 8 positions which are currently authorized but cannot be filled for lack of funds. As stated elsewhere, the current salary lapse is 13 percent. That means that of every 100 authorized positions only 87 can be filled at any one time. In times past that "lapse" was only 4 percent; that is, we could fill 96 of every 100 authorized positions. Normal turnover could accommodate a 4-percent salary lapse.

We are asking for $293,341 to allow us to fill 8 previously authorized positions. These eight positions include 5 reference librarians (2 GS-12, 2 GS-11, 1 GS-9) and 1 special searcher (GS-9), which will be used to help staff the Main Reading Room when it reopens. During the period when it has been closed for renovation, we have been able to hold these jobs vacant when turnover occurred. Now they must be filled, but the money is not available because of the underfinancing of authorized positions as has been described elsewhere in these hearings. The 21 new positions are unrelated to the opening of the Main Reading Room.

NATIONAL TRANSLATION CENTER

Mr. FAZIO. What about the National Translation Center? What were the circumstances of the Library acquiring that organization?

Dr. BILLINGTON. We acquired it effectively in January 1989 from the University of Chicago after its decision to discontinue support of its operation in June of 1988.

We sent out a team, advised the Joint Committee on the Library, that they were proposing to give it to us.

It is a national depository and referral center for helping users locate unpublished English translations of literature in the medical, physical, and social sciences. It is a valuable national resource for American industry.

It contains information on the whereabouts of about a million translations of which 400,000 are full text translations held directly by the Center.

It is a clearinghouse for information where these exist in the country.

We transferred it in January 1989.

In the course of the past year, it has come up and running.

It is a cooperative effort involving translations prepared by scientific and professional societies, Government agencies, special libraries, corporations, colleges, and other institutions. The translations are all deposited there and it saves the Government and business the cost of retranslating materials already translated.

It is a service we would like to see developed.

I think it is in the black. It has already attracted a good deal of interest and we think it can be perhaps the germ of more ambitious efforts along this line in the future for science and technology.

Mr. FAZIO. Did the Congress authorize it?

Dr. BILLINGTON. We got the Joint Committee——

Mr. FAZIO. Leadership to sign off on it?

Dr. BILLINGTON. Yes.

Mr. FAZIO. They don't have to pay the bills. It may be a great idea, but the committee's sensitivity is that this is the way to get backdoor budget responsibilities. You transfer people to run the program and then we have to replace the people who were transferred.

Dr. BILLINGTON. This was always seen as a model fee-for-service, pay for yourself.

It was my sense in taking it over that if it did not prove to be fee-for-service—we might have to consider moving it on just as the University of Chicago did.

Mr. TABB. One of the conditions of our accepting the transfer was that the center would become self-sustaining.

Mr. FAZIO. I imagine the university tried to make it self-sufficient, didn't it?

Dr. BILLINGTON. The university was changing some of its priorities which was the reason.

I don't think they felt that it was a drag. It was a question of changed priorities for them. It was not an operation they wanted to stay in.

Mr. TABB. Many of the people who deposit are Federal agencies. In fact, it is a requirement that any translations created on a Government contract should be deposited at the Center and many Government agencies found it more difficult to deal with the Center than from Washington.

Mr. FAZIO. How close are you to having the Center pay for itself at this time?

Mr. CURRAN. The issue here is as the Librarian indicated, there is a file of a million documents that have been translated. We have 400,000 of them.

Now it is anticipated that the cost of servicing that file, sending you a copy, is paid by the customer. But like building and maintaining the file, providing it in place, developing suitable indexes and aids so that it becomes increasingly useful to the scientific community—the items in high demand here are Japanese or German translations of something technical, it is probably not realistic to think that all of those costs can be recovered.

It is a national information resource.

If we don't do it, it is reasonably certain that no one else will.

It was going begging and we felt it was worth trying to salvage and save.

Mr. FAZIO. It would be helpful to the Library and to us if, in the future you try to get congressional approval for these types of commitments. We should have the opportunity to make decisions on these matters.

It will help when you come back to us and ask for money.

Otherwise, I think the Library absorbs it somehow and other programs are impacted.

Dr. BILLINGTON. I believe we informed the Joint Committee on the Library last year about this. We did get $40,000 in receipts during the less-than-a-year it has been running. It is bringing in income.

I don't believe it pays for itself yet so maybe I was wrong in saying it is in the black.

Mr. FAZIO. I have questions for the record that will help us understand the potential for growth.

Dr. BILLINGTON. It was because it seemed to be an important additive and spur to something which we had felt strong congressional interest in and national concern about; namely, more support for the science and technology competitive concerns of American industry and possibly the investigation of some kind of national library of science and technology with a kind of fee-for-service-type thing. The Japanese are doing this intensively with far less information than we have.

It seemed worthwhile taking this over as a spur to moving into it.

Mr. FAZIO. I am sure there will be frequent users of the files.

[The questions and responses follow:]

NATIONAL TRANSLATION CENTER

Question. Provide the approval for the National Translations Center of the Joint Committee for the record.

Response. Attached is a copy of the letter dated December 22, 1988, from the Librarian to the Chairman of the Joint Committee on the Library.

DEC 22 1988

Dear Claiborne:

It is my pleasure to inform you that the Library of Congress has agreed to accept the transfer of the National Translation Center from the University of Chicago. The Center, now located in The John Crerar Library at the University of Chicago, consists of a collection of some 400,000 translations of scientific and technical articles and reports dating from the 1920's to the present. The center was established in 1953 as an international depository and clearinghouse for translations produced by government agencies and private sector organizations. Since its inception, the Center has been a principal source of translations that, in turn, have been of critical use to our nation's research and development community.

It is our intention to begin accepting new deposits to the National Translations Center before the end of the year and to relocate the retrospective collections from Chicago early in 1989. This collection is an important addition to the Library's scientific and technical collections, and we hope you will share with us the enthusiasm we have in obtaining this important national resource which will be available for the use of Members and Committees of Congress, the government, and the world of learning.

Sincerely,

James H. Billington
The Librarian of Congress

Honorable Claiborne Pell
Chairman, Joint Committee on
  the Library
335 SROB
Washington, D. C. 20510-3902

Question. Provide income and expenses for the record for the National Translations Center.

Response. Earned income from the National Translations Center since it began service in May 1989 is $12,198.89. In addition, $34,259.20 is held as customer deposits for future orders and work in process. A fee of $35.00 is charged for each order fulfilled.

Included in the expense for 1989 are $153,289 of start-up costs to move the Center to the Library and provide equipment needed to properly outfit it. Since its establishment, staffing for the Center has been provided through the temporary reassignment of staff from other Library programs and the assignment of two permanent positions to this project.

Fiscal Year 1989

Salaries and benefits	$183,472
Non-personals (including printing, automation equipment and supplies, transportation of material, professional and consultant services, etc.)	57,805
Total	241,277

CULTURAL AFFAIRS

Mr. Fazio. Under Cultural Affairs, tell us about your plans to celebrate the Columbus Quincentenary and to exhibit the Vatican treasures, and then we will hear from Alan Jabbour.

Dr. Billington. We have three major exhibitions planned as part of the Library celebration. First, the major 1992 exhibit is dedicated to the recognition of Columbus' voyage, and will focus on the world that Columbus represented, the old European world prior to 1492 and the new American world prior to 1492, and on other explorers who came to America early in the 16th century. It will build on the Library's rich holdings—manuscripts, music and recorded sound—to support the event and the period during which these two distinctive worlds became one. It will be a rich pedagogic exhibit.

The Changing Americas will be later in 1994. It is an exhibit in the Library of Congress to be shown in the newly reopened Jefferson Exhibition Hall in the Jefferson Building. It will address the critical themes of cultural pluralism and how it developed the American character and society during the past 500 years. A special exhibit on Italian Americans in the West is also being planned by the American Folklife Center. I have a lot more about that.

Mr. Fazio. I have been hearing a lot about it too.

Dr. Billington. The Folklife Center in 1989 did intensive research in California, Washington and Nevada where Italian Americans have long been influential, and in 1990 will do similar work in Utah and Colorado. This major exhibit will open at Washington's Catholic University in 1992 in connection with the opening of the University's Italian American Heritage Center.

VATICAN TREASURE PROJECT

You asked about the Vatican Treasure Project. As of last Friday, I had a very happy communication from the Secretary of State of the Vatican. We have an agreement—after two years of negotiation—for a major and unprecedented loan of an exhibition of the treasures from the Vatican Library and the Jesuit Archives in Rome which will illustrate the opening up of the European mind from the 14th to the 17th century and the role of the Vatican in a broader sense in that process.

Virtually none of the 150 treasures we have requested and others which I think we will add to it will have been seen before outside of Italy. Their display will be a major cultural event for the Library and for the Congress as well. Examples include autographed letters, astronomical drawings of Galileo, autographed letters and poems of Michelangelo, an autographed diary of Petrarch, a 16th century illuminated musical manuscript of the Sistine Chapel priory school, et cetera. We will also plan some major academic conferences related to the exhibit, major musical performances and a major catalog in connection with it.

I am happy to say that we have also received a large gift from the Chairman of our new Madison Council which will basically cover the project.

Mr. FAZIO. Wonderful. I know you are very gratified at obtaining getting the Vatican treasures on loan. I know you have spent a lot of time working on that.

Dr. BILLINGTON. We just received confirmation and I think it will be an extraordinarily interesting event as well as an educational one. That is technically separate from the Columbus thing but is related in the sense that it is an opening up of worlds.

Columbus was after all on a mission for the Church as well as for the sovereigns of Spain.

Mr. FAZIO. Yes.

Dr. BILLINGTON. I think it is useful in the sense, if we think about Columbus, because the opening of the new world was not simply a physical act of discovery but it was part of a general explosion of knowledge and opening up of the modern world in which the Vatican played a very important part. A lot of the early history of botany, for instance, will be exhibited. When we were going through some of the materials, we saw stunning pictures, early cartography, maps of Australia and Japan were sketched out in notebooks of some of these people. There are quite stunning things which I think will be great fun as well as very educational.

Mr. FAZIO. You will have to insure this, is that correct?

Dr. BILLINGTON. We certainly will.

Mr. FAZIO. What do you think it might cost?

Dr. BILLINGTON. I don't know.

Mr. FAZIO. Don't go self-insured.

Dr. BILLINGTON. I might say, Mr. Chairman, that wonderful restoration of the Jefferson Building was part of the element of persuasion. When we had the Cardinal who was in charge from the Vatican going through these buildings and seeing the restored chambers there that we have for exhibition we were reminded of these marvelous Palladian views with windows in the Vatican so he didn't feel he was going so far.

The international service of the Library was an important element of persuasion. The Library of Congress did the basic catalog of the Vatican Library which didn't exist before. There is a sense of indebtedness to the Congress of the United States in that sense and in the sense of the renovation of this home as a proper home away from home for these treasures. This has made it possible. We owe it to your predecessors who created a home in which it is possible to invite such guests.

Mr. FAZIO. I am glad they appreciate the new building.

AMERICAN FOLKLIFE CENTER

Mr. Fazio. Alan, do you want to comment about the Folklife Center and what it may be doing for the Columbus Quincentenary?

Mr. Jabbour. We have begun documentary field work in California, Washington State and Nevada this year. In California, you might be interested in knowing that we worked particularly in San Pedro, which is the Los Angeles port area, and in Gilroy in the Santa Clara Valley, as examples of maritime and agricultural communities, and we had a very successful period in the field in both places this summer and fall.

Mr. Fazio. I hope you avoided the earthquake in Gilroy.

Mr. Jabbour. We did. We were there up until two or three weeks before.

You may enjoy some of the photographs we took on the project itself. We will be doing additional fieldwork next year and then will begin tooling up with a major exhibit opening at Catholic University and touring, we trust, to the West that will feature the results of the project and our historical research that complements it.

Mr. Fazio. I see you are involving the Italian American Historical Society that seems to revolve around St. Mary's, and keeping them intimately involved in this process?

Mr. Jabbour. Yes, sir. You can be assured we will keep in close contact.

Mr. Fazio. Or I will have to forward more letters to you.

Mr. Jabbour. In addition, we will have a series of symposia in the quincentenary year working with pluralism and American creativity and the way that has contributed.

Mr. Fazio. Are you going to the Gold Country?

Mr. Jabbour. We may. We are aware of Italian communities throughout that area but it is a matter of resource allocation.

Our next concentration is on mining and we will do it partly in Utah and Colorado, because they also had large Italian American communities focusing on metal mining.

Mr. Fazio. Maybe that is sufficient. Are you taking in the Napa Valley?

Mr. Jabbour. One of our field workers did sneak off and drove into the Napa Valley and came back with beautiful photographs of Italian stone construction in the valley. This stone construction appears all over the West; it is a Piedmont Italian tradition that is what we think of as part of the Western landscape, but in fact it is an Italian American contribution.

Mr. Fazio. Those of us in the Italian American part of the Congress appreciate what you are doing.

Are there any other things you wish to report at this point?

Mr. Jabbour. With the rest of the Center, we are concentrating on developing archival systems and techniques, and are requesting an additional processing assistant to help us there. We think we can lick our arrearage, taking us as one discrete entity within the Library.

We are also developing a cataloging system that we think can be shared with other libraries with similar archives. It is a solvable problem, and that request we presented will solve our problem so that we will not be complaining about it hereafter.

I also have to tell you that we have developed a system for our documentary projects of, in effect, cataloging as we go in the field, so we are not adding to the arrearage problem by our field research.

Mr. **Fazio**. Are you seeking private funding?

Mr. **Jabbour**. Yes. We will be approaching people for the exhibit, for example, that we just discussed, and we have approached a number of people for other things as well. We recently received assistance from the National Academy of Recording Arts and Sciences. They are assisting us in our selected list project where we list the best folk recordings for the year and circulate that to libraries all over the country. We do that regularly.

Mr. **Fazio**. I would think there would be a number of people like the Gallo family or people associated with A.P. Giannini, the founder of the Bank of America, or maybe Dom, Vince and Joe Di Maggio, all of whom would like to help you make your impact.

Mr. **Jabbour**. We have made lists but we haven't yet made approaches. May I take that as a suggestion?

Mr. **Fazio**. Okay. I will talk to you later.

MANAGEMENT SERVICES

Mr. **Fazio**. Under Management Services, Automation, the budget is $26.2 million. This is a key part of the budget, a window on the future. Tell us about the potential in the Linked Systems Project (LSP) where you can exchange bibliographic records with other libraries. That may be a way to obtain substantial aid from other libraries to help bring the averages under control.

Dr. **Billington**. I will defer this to Rhoda Canter, our Associate Librarian for Management, and to Herb Becker, who directs the Information and Technology Services organization. In general, it was fairly clear that we have both problem of infrastructure in the Library with information technology systems and an added problem of tackling these arrearages which, since we are trying to get them on an automated system, further compounds our automation needs.

We have, of course, in Herb's area, a resystemization in progress, a long-term total overhaul of the system—to bring it up to date. The Library in a way suffers from having been very early into the automation process, and there is now a need for this resystemization. That is an ongoing need plus there are other special needs.

Ms. **Canter**. Let me start and let Herb follow.

The Linked Systems Project mentioned earlier is entering a new phase, and our request for automation includes funding for three unfinanced positions to help us do the systems analysis associated with this further phase, and also the programming.

The later phases will help us expand to include cataloging records we are sharing with other libraries. It will let us do not just name authority records, but full catalog records.

Mr. **Becker**. The technology to implement the networking—the sharing of record creation—is in the computer arena; the Linked Systems Project is a way of doing that. It would provide computer-to-computer communication.

The experiments mentoned that are going on now do not take full advantage of the technology, the LSP project would make an improvement in the productivity of the project and make it possible to expand it to more sites. We have done the first phase of this which allows authority record sharing.

The part that we are asking more positions for and which is more extensive is also directly related to the arrearage challenge in the bibliographic record itself.

Mr. **Fazio**. The question that comes to mind is whether you are moving in advance of the pilot approach. Is there anything you are going to be gleaning from it that will help guide you in this regard or are you out in front?

Mr. **Becker**. We are not really out in front here because there is sharing going on now, but we are not taking full advantage of the technology.

Henriette mentioned the national coordinated cataloging project. That project is currently based upon terminal-to-computer technology to the cataloging records rather than computer to-computer communication. Everybody who uses it must have a Library of Congress terminal and use our own software system in order to share and search the records in the bibliographic data base.

Ms. **Avram**. It is our intention to use OCLC to take advantage of their cataloging data. We are going to use a terminal of theirs and search the OCLC system and that record will be displayed on a piece of paper at the Library of Congress, and we will have to rekey it.

Once we have the Link of Systems project, the rekeying is over. It is a way to go, to get to that point.

Ms. **Canter**. It is a case of the pilot actually being out in front of the technology and we need to come in to support them more fully.

Mr. **Fazio**. And hope that this approach turns out to be worth the investment.

Ms. **Canter**. Oh, yes.

Mr. **Fazio**. If it isn't, if the pilot doesn't turn out to produce the results that you think it will, then what?

Ms. **Canter**. We need to put in place the technology to actually operate the pilot and only after we have operated the pilot will we be able to determine whether or not——

Mr. **Fazio**. My point is if the pilot doesn't work well you will still have this investment.

Dr. **Billington**. There is a strong possibility that somebody has already cataloged some of the materials and we can copy that.

Ms. **Avram**. The pilot was set up for a different reason. The pilot is for people to catalog with us. That is different than using the OCLC data base.

The cataloging is already in that system to use. There are two different projects, NCCP and copy cataloging.

Dr. **Billington**. I think the Chairman was thinking of the second as another kind of pilot which in a way it is.

Ms. **Avram**. It is but there is no reason why that shouldn't work.

Dr. **Billington**. That is a pilot with a strong advance presumption rather than a problem in the dark.

Mr. **Fazio**. You are talking to someone who is probing in the dark frequently in hope of turning on a light in my own mind.

QUESTIONS FOR THE RECORD

I have questions on LSP for the record.
[The questions and responses follow:]

Linked Systems Project

Question. At what point will you be using LSP as substantial input to the cataloging process?

Response. LSP has been operational for approximately four and one-half years for authority records, a component of the cataloging process. However, the Library will not be able to take full advantage of LSP for the other component of cataloging, the bibliographic record, until each of the other participating organizations (OCLC and the Research Libraries Group (RLG)) installs the software needed to support the exchange of bibliographic records, referred to as LSP/BA (for Linked Systems Project Bibliographic Application). Each organization has projected a different date for completion of this work—none of them in the immediate future. The Library is aiming its implementation to meet the schedule of the two other organizations. RLG is expected to be ready by June 1991; OCLC will give no definite date, but it has made it clear that it will not have its system capability in place until after June 1991. It appears, therefore, that June 1991 is the earliest date we can expect this full LSP facility to be available.

Question. At that point, will the potential savings to LOC resources be?

Response. This is a difficult question to answer with any precision. But the following data give some indication of the potential savings.

One of our projects that will eventually benefit from LSP, the National Coordinated Cataloging Program (NCCP) currently involves eight institutions contributing cataloging records to LC. Until LSP is available, these eight institutions must use an LC terminal linked to LC's computer system. The yearly telecommunications costs for these connections are $63,420; the yearly costs for leasing the LC terminals are $27,636; and the one time cost for purchasing printers is $41,300. The annual savings in telecommunications and hardware alone would amount to $91,056 for this project. It should be noted that telecommunications charges will continue after full LSP capabilities become available, but these will be borne by each user organization; the exact costs under these conditions are not known.

We are setting up two operations to take advantage of copy cataloging, that is, using the bibliographic records found on the database of two bibliographic utilites—RLIN and OCLC. Until LSP for bibliographic records is in place so that bibliographic records can be electronically transferred and added to the Library's database, LC staff will have to key the records they find on these outside databases into our online files. For the first of these tasks—copy cataloging to reduce the Library's books arrearage, we estimate that 38% of the time spent processing each record will be devoted to keying the records into LC's database. Our aim is to copy catalog 13,500 book records annually. Deducting the keying time, staff could copy catalog an additional 4,700 in annual salaries and benefits. The second task involves cataloging to reduce the sound recordings-arrearage. In this operation, approximately 55% of the time spent processing each record will be for keying the record (these records are longer) into LC's database. Again, we expect to copy catalog 13,500 sound recordings records annually. Minus the keying time, staff could process an additional 6,900 titles yearly, which equates to 4.22 staff persons or $132,820 in annual salaries and benefits.

So, our initial savings with full LSP capabilities could amount to a total of $313,576 on an annual basis, plus the one time savings of $41,300 for printers. These savings would be amplified if we were able to increase the volume of copy cataloging done.

NATIONAL FINANCE CENTER

Mrs. Boggs. Is this the appropriate place to ask about relations with the National Finance Center?

Mr. Fazio. Absolutely, Mr. Boggs.

Mrs. Boggs. You are starting to use the services of the National Finance Center. How would you assess the quality of the service.

Ms. Canter. Let me give you a brief summary of where we are on the conversion which has not yet been completed. The Library decided in February of 1989 to pursue this option rather than going through the more costly effort of developing an in-house payroll system. We have put together a project team which has defined a detailed series of steps that will allow us to make that conversion.

We have begun training people and we will begin parallel testing of that system, actually run pay periods at the Library and in New Orleans for several pay periods to make sure that it is operating correctly this spring. We will actually make that conversion in June of this year.

[CLERK'S NOTE.—The Library advised the Committee that the conversion will take place in July, 1990.]

So far the cooperation we have had from the National Finance Center has been outstanding. They have gone to great lengths to have people come up and help us explain to our staff how the system will work and try to allay some concerns which are normal in introducing any new system.

Mrs. BOGGS. The Agriculture Department and the Office of Management and Budget are in the process of studying a "federal co-op" conversion for the National Finance Center.

Of course, you haven't used the Center's services long enough to make a real judgment I suppose, but how would you view any effort to take the Center private?

Ms. CANTER. We don't want it to happen during our conversion. Whatever is done there will have to be decided by the people involved, but we certainly would hate to see the very valuable service the NFC provides interrupted.

Mr. FAZIO. I am backing you, Mrs. Boggs.

Mrs. BOGGS. Thank you.

BUILDING RENTAL

Mr. FAZIO. On building rentals, you currently lease space at five sites off Capitol Hill, which currently have an annual lease cost carried in this budget item of $2.1 million. Another $1.5 million is carried in the National Library Service budget. Could you tell us about these five sites and how they are utilized.

We can't find any record of the Boyers, Pennsylvania facility being raised with the committee or requested in the budget

Ed is looking for lost properties. Perhaps he is working for the tax collector of Pennsylvania.

Dr. BILLINGTON. You want me to talk about the five sites or the general need? I will let Mr. Trew elaborate.

Mr. TREW. You want me to start with Boyers, the lost site?

Mr. FAZIO. Go ahead.

Mr. TREW. I guess it was in 1978 we started to investigate finding a way to deal with storage of our micro-form masters. It turned out that in the Adams Building, for instance with the presidential papers, we were keeping the micro-form masters, duplicates and originals all in one place and, of course, that is not an ideal situation.

If something happens, everything goes. So we began to look around for a means of storing microfilm in an economical way.

Typically, when we look for rental space if something is going to be more than 2500 square feet, we will go through GSA. In this case, we put out an RFP and National Underground Storage was one place that responded with what we were looking for which was about 1100 cubic feet of space for around $5000.

I went back and looked through our previous hearing records and we had a practice in the past of doing arrays for rental sites and I noticed that Boyers appeared in some later on but for some reason at that time it didn't. I guess we didn't ask for approval because space became available in the middle of the fiscal year, and it was available for $5700.

It was a minimal amount of space, in other words, and under the 2500 square feet of space and we went ahead and made the arrangements. It has appeared in subsequent arrays that we have put out.

Dr. **Billington**. What are the other four?

Mr. **Trew**. Landover Center Annex where we have some of our special collections and we also have our warehouse facility; the National Library Service for the Blind and Physically Handicapped at Taylor Street; the Suitland Film Vaults in Maryland where we do some film processing, and we have a facility that we don't pay rent for (we pay utilities) at Wright Patterson Air Force Base in Ohio. That is where the nitrate film is stored and the original conversion is done.

It is an Air Force facility, an old Air Force historical film lab that we have renovated there.

Mr. **Fazio**. We haven't heard from the Virginia delegation so the Maryland orientation will pass for another year.

Mr. **Trew**. I should also mention the space we have for the Federal Research Division at the Navy Yard.

QUESTIONS FOR THE RECORD

Mr. **Fazio**. I have other detailed questions and we will make those part of the record.

[The information follows:]

Building Rental—Off Capitol Hill

Question. Explain the $4.9 million needed for the secondary storage facility. There are also $481 thousand for 17 positions and $67 thousand for equipment.

Response. There is a critical need for the secondary storage facility because at the present rate of collection growth the space available for the general collections on Capitol Hill will reach its practical capacity by the end of Fiscal 1992. Success in reducing the Library's unprocessed arrearages will accelerate the growth rate and could fill the remaining space early in calendar 1992 Fiscal 1991 funding is needed because about nine months' lead time will be required to lease a building, procure and install shelving, and configure and outfit working spaces for staff members. It may be possible to use a phased approach to establish the facility.

The funding requested will support the purposes shown below:

Facility:	*Amount*
Building rental	$1,576,000
Shelving, decking, lighting, and fire suppression	3,180,000
Transportation (truck and van)	170,000
Total	4,926,000
Staffing:	*Salaries and benefits*
GS-13 Selection officer (1)	$54,274
GS-11 Supervisory librarian (11)	38,081
GS-9 Supervisory librarian (9)	31,474
GS-7 Library technicians (12)	308,741

WG–5 collections laborers (2)	48,150
Total (17)	48,720

Equipment:

Three labeling machines are required to affix bar coded shelving/retrieval labels to volumes placed in the facility. One facsimile transmission machine is required for document delivery to readers on Capitol Hill.

	Amount
Labeling machines	$48,000
Facsimile machine	12,000
Maintenance and repair	7,200
Total	67,200

Question. What do you plan to store at this facility?

Response. The facility will house lesser-used books and serials from the Library's general collections. Other volumes, including all law books and rare books, will remain on Capitol Hill. Placing only seldom-used items at the facility will minimize the impact on reader service on Capitol Hill.

Question. How large will the facility be? What cost per square foot do you estimate?

Response. The facility will be approximately 100,000 square feet in size. The first year rental rate is estimated to be about $9.00 per square foot. Estimates for additional first-year costs are $450,000 for air conditioning upgrade, $75,000 for security systems, and $150,000 for operating costs.

Question. Does it have to be in close proximity? There must be some good "buys" in more remote locations (Manassas, etc.).

Response. The fundamental operating concept of the facility is that it will be an extension of the book stacks on Capitol Hill, not a "remote" storage installation. To ensure satisfactory service to readers there must be reliable delivery of requested items from the facility to Capitol Hill at least twice daily. Because of chronic traffic congestion in the Washington area, the farther the facility from Capitol Hill, the less reliable this service will be and the greater the operating costs of the Library vehicles which support it. Readers needing to consult large numbers of items (e.g., to browse through long runs of periodicals) will be served in a modest reading room at the facility. To provide access to such readers, the facility must be reasonably close to public transportation.

Mr. FAZIO. Thank you very much.

Mr. FAZIO. Mr. Porter also has a question about the secondary storage facility, please answer it for the record.

[The question and response follow:]

QUESTIONS SUBMITTED BY MR. PORTER

Question. Your budget includes a $5.4 million request for a secondary storage facility. If funds were provided and the facility was built, where do you think it would be located?

Response. The facility should be as close to Capitol Hill as possible and be accessible by public transportation. The fundamental operating concept of the facility is that it will be an extension of the book stacks on Capitol Hill, not a "remote" storage installation. To ensure satisfactory service to readers there must be reliable delivery of requested items from the facility to Capitol Hill at least twice daily. Because of chronic traffic congestion in the Washington area, the farther the facility from Capitol Hill, the less reliable this service will be and the greater the operating costs of the Library vehicles which support it. Readers needing to consult large numbers of items (e.g., to browse through long runs of periodicals) will be served in a modest reading room at the facility. To provide access to such readers, the facility must be reasonably close to public transportation. To meet these needs the facility should be within or reasonably close to the Capitol Beltway.

Question. Could we continue to ensure practical public and professional access to the materials stored at the facility?

Response. If the facility is sited as described above, materials can be delivered to readers on Capitol Hill in four hours or less. In some cases where only excerpts from stored volumes (e.g., an article from a journal) are needed, facsimile transmission will be used to send a copy to the reader; this may take only an hour or so from the time the request is made. The reading room at the facility can be used by readers to consult items stored there.

CIVIC ACHIEVEMENT AWARD

Mr. **Fazio**. I gather on the Civic Achievement Award, there are no funds requested. I believe the current authorization will expire at the end of fiscal year 1990, is that your understanding?

Dr. **Billington**. Yes, sir.

Mr. **Fazio**. I think they are looking elsewhere, perhaps through the Department of Education.

Dr. **Billington**. In April I attended a hearing of the Senate Committee on Rules and Administration on the reauthorization and I disassociated the Library from the Close Up Foundation at that time because of the $3,280,000 that they requested for fiscal year 1990 and the fact that the program was operated outside the effective jurisdiction of the Library.

We had no control over either the program or the generation of that sum. I further suggested that the relationship between the Library and Close Up Foundation be terminated.

The committee agreed that the program be separated and that another agency be found through which the program might be funded in the future. It wasn't under our effective control anyway and therefore we without prejudice separated it. I believe that has been accepted.

Mr. **Fazio**. I am not sure where they will pop up again. Not in your budget anyway.

COPYRIGHT OFFICE

Since Ralph Oman, the Register of Copyrights is here, we can talk about the Copyright Office.

Your request is $25,755,000 and 597 positions. There is $14,509,000 in estimated copyright fee receipts which will reduce the direct appropriation request to $11,246,000. Thirty-three more positions are requested.

I assume they will pay for themselves and more. It is always nice when the Copyright Office can say that.

Mr. **Oman**. We do feel relief is just over the horizon. We have requested that Congress increase the fees from $10 to $20. The House has already acted.

The Senate is about to act. We feel we will be able to in good conscience to ask you to authorize us to spend that money on providing better service to the people who use the copyright system. I don't have to tell this committee the importance of the copyright system to the movie industry, the sound recording industry, the computer industry, the semi-conductor chip industry, all those industries that have such a positive balance of payment in our international transactions.

A strong copyright system is good for them; it helps them exploit their markets overseas. We hope we will be able to use some of those monies that are generated by the fee increase to improve that service.

We are discouraged, as it turns out, by the fact that our productivity increases, which have continued to grow over the years, have been outpaced by the growth in the workload. Even though we are still just barely keeping our nose above water, we do feel, unless we get some relief in the near future, we will begin to experience delays that will make the system less useful.

Ideally, the delays are five weeks. They have edged up to nine weeks. We fear that unless we do get these additional positions, we will begin experiencing delays of up to 12 or 14 weeks. I think this would be unsatisfactory.

[The statement of Mr. Oman follows:]

Statement of the Register of Copyrights
before
The Subcommittee on Legislative Branch Appropriations
Committee on Appropriations
United States House of Representatives

February 5, 1990

Mr. Chairman and members of the Committee, I appreciate the opportunity to speak to the requests for the Copyright Office of the Library of Congress.

Last year the Copyright Office processed more claims to copyright than ever before. Even so, the Office has experienced some difficulty in keeping up with the rising tide of copyright registration claims. We are very proud of our steadily increasing productivity, which we have accomplished through hard work and funding from this Committee for the latest automation equipment. But we are discouraged by the fact that the increases in the workload have outpaced our productivity increases.

This year, however, I believe we will be able to find some relief. Congress is about to increase the copyright fee from $10 to $20. This increase merely corrects for the rate of inflation that has eroded the dollar since Congress set the current fee back in 1976. We have worked hard, and made important concessions in order to win the support of the copyright industries and individual writers and artists and composers, and the fee increase bill has moved quickly without opposition. The House passed it last October, and the Senate Judiciary Committee is about to report it out.

This increase will generate an additional $7 million in fees, and I hope that you will allow the Copyright Office to use this money to provide better service to the copyright industries. I don't have to tell you, Mr. Chairman, of the importance of the copyright industries. The music and motion picture industries, the publishing industry, the software industry, and the semi-conductor chip industry all contribute a great deal to our national wealth and our quality of life and they rely heavily on the copyright system.

If you increase our budget based on our greatly increased income, we can do an even better job serving the creative people of the United States.

We are asking for 30 new positions to handle the increased workload in the most critical operational functions involved in the processing and recording of copyright registrations.

With the increase in staff, we will reduce the time it takes us to issue a certificate from 9 weeks to 5 weeks. Without the increase, that delay will grow to 12 or 14 weeks, despite the heroic efforts of the Copyright Office staff. Increased delays have a ripple effect that slows us down even further: we get more telephone calls from the general public asking about the status of a claim, and we get more letters of inquiry that we have to answer; with increased delays, we also have more work on hand, which creates space problems, shelving problems, lost copies and applications, security problems, delays in depositing money in the U.S. Treasury, and delays in transferring materials to the Library of Congress collections; finally, increased delays mean that the public will have to wait longer to get access to our cataloging records, which is so important to litigation and the orderly transaction of copyright business. These 30 new positions are vital.

Out of the increased revenues, we are also requesting a one-time appropriation for an important project that has been on hold for ten years: That is, to convert our old-fashioned card catalog to a machine-readable format. The Copyright Office has the world's largest card catalog. It has 45 million 3x5 cards in 25,000 trays. These cards represent the public record of copyright registrations from 1870 to 1977, the year we automated the process. The works indexed on those cards still have tremendous economic significance. If we converted it to machine-readable format, it could be accessed from all over the country and processed for sale to the public. It would make the Copyright Office much more efficient, and make the outside users of the system very happy. Moreover, we would recapture 6,000 square feet of space here on Capitol Hill. A total of $2.6 million is requested for this historic conversion.

One last point, Mr. Chairman. This year we reach an important milestone; we celebrate the bicentennial of the first copyright law. We plan a series of special events to be supported by the private sector.

NEW POSITIONS

Mr. **Fazio**. What do you hope to do with these 33 new positions

Mr. **Oman**. They will all be used directly on production jobs. They will be in the mail room. They will be in the information reference division. They will be answering requests from the public.

They will be in the examining division, examining claims. They will be in the cataloging division, recording the claims for our copyright record.

We don't have any additional superfluous people, tangential jobs. This is all directly related to workload. We hope you will approve our request.

We also have one other unusual request, a one-time request. It is a fairly large request.

AUTOMATION OF CARD CATALOG

Mr. **Fazio**. This is the year. Just pile it on.

Mr. **Oman**. We feel our credibility is better this year with the generation of seven million dollars more than we were going to be generating last year, as a result of the fee increase.

As you may know, we have in the Copyright Office the world's largest card catalog. We have 45 million cards in 25,000 trays taking up 6,000 square feet of space in the Madison Building.

These cards represent the public record of copyright registrations from 1870 to 1977, the year we went to a fully automated recording of the claims to copyright. The works indexed on those cards still have tremendous economic significance, works that were created back in 1915 are still under copyright.

Works like motion pictures are almost all in that collection of cards. So we would hope you would authorize us to convert these cards to a machine-readable format so it would not only make our operation more efficient, but would make the card catalog accessible from all over the country and reduce the requirement for people to come to Washington to use our system, to use our data base.

Part of our feasibility study will be to figure out ways to make it accessible from all over the country. The price tag on that one time item is $2.6 million.

Mr. **Fazio**. Will you be doing that with your own in-house operation? Do you have the software?

Mr. **Oman**. We would study the various possibilities. We tried to interest outside corporations in the project a few years ago but they felt the potential for direct cash return was not sufficient to justify their investment in it.

If we can do it as a joint project, certainly by us supplying some of the financial means to convert it to the machine-readable format, we would not rule out the possibility of assistance from the private sector. We want to be sure if we do use the private sector to help us, that they don't insist on monopoly control of it after it is created.

We want to be sure it continues to be accessible to the public at large and our searchers in the Copyright Office.

Mr. **Fazio**. My concern is that we know what we are getting into before it is started. Can you assure us that this $2.5 million will take care of the entire project?

Mr. **Oman**. The basic studies that we have done suggest that under current costs, that would be sufficient for the job. Of course, if it is strung out over a period of years, those costs could rise.

We expect that the current estimates will hold, if we are able to start it within the next year or two. We have every expectation that we can stick to that.

Mr. **Fazio**. It is a one-time request if the time frame is maintained?

Mr. **Oman**. It is a request that would allow us to spend the money not just in the current fiscal year, but in the subsequent years, as well.

Mr. **Fazio**. The funds would remain available.

COPYRIGHT LAW BICENTENNIAL

Mr. **Oman**. The last point I have is the fact we are about to celebrate a great milestone. That is the Bicentennial of the first copyright law. We will do that with a series of galas here in Washington.

We will be sharing the limelight with the patent system. Both laws were signed into law by President George Washington in 1790. We hope that you and the members of the subcommittee will join us in celebrating that momentous event.

We appreciated your support in the past. You have enabled us to be successful and do the job we do in support of the creators of the United States—the artists, the writers, the composers. We hope your schedule will permit you to participate in some of the glittering events we plan to hold in the month of May.

Mr. **Fazio**. That's great. Will you give Mrs. Boggs and I advance notice?

Mr. **Oman**. You will be at the very top of the list.

Mr. **Fazio**. Dealing with the entertainers is one of the glamorous aspects of this job.

Mr. **Oman**. There will be a good representation from California, I assure you.

Mr. **Fazio**. We appreciate that. The sooner you can tie it down, the better.

Where will this gala be held?

Mr. **Oman**. There will be a series. We are going to start off on an intellectual note with a seminar and symposium for foreign dignitaries at the Library of Congress.

Dr. **Billington**. But it won't last long.

Mr. **Fazio**. It would be seemly to start with that.

Mr. **Oman**. The theme will be the American experience in patents and copyrights, which is a unique experience because it goes back to the founding of our country. Then it will move downtown, with the private sector jumping in in a major way. There will be a ball in the Pension Building, and they will try to reconstitute an event that took place in 1890, when the President and his cabinet journeyed by boat to Mount Vernon to mark the occasion.

I doubt whether that in total will come off.

Mr. **Fazio**. Who was President in 1890? Grover Cleveland was sworn in in 1885.

Mr. **Oman**. Benjamin Harrison.

Certainly the importance of patents and copyrights in the international scheme of things, and its importance to our national economy will justify that type of high level treatment. We may have to settle for a ceremony in the Rose Garden, but we will take it.

Mr. **Fazio**. The Association of Washington Patent Attorneys ought to be able to pitch in and help.

Mr. **Oman**. They have jumped in. The sales for tickets are going quite well. We expect that we will be turning people away at the end. We expect to have between 800 and 1,000 people here in Washington.

Mrs. **Boggs**. Any of those we have to turn away, we have other projects they can participate in.

Mr. **Oman**. They can work on the arrearage problem.

Mr. **Fazio**. We have to keep focused on our main concern. Thank you, Mrs. Boggs.

Well, thank you, Ralph. We appreciate your thinking of us in this context.

Mr. **Oman**. Thank you for your support. We will do the best we can.

Mr. **Fazio**. I have some questions about the Copyright office which can be answered for the record.

[The questions and responses follow:]

Question. One of your initiatives is to automate the 45 million card copyright catalog. How long will that take? What will be the cost? What will be the benefit of automation?

Response. We estimate that development of an automated, image-based system to replace the Copyright Card Catalog will require four years. The system we envision, once built, should be capable of converting the entire card catalog (scanning and minimal level indexing) over a period of approximately two years. However, systems analysis, design, development and construction phases must precede the conversion process. The first phase, a detailed systems analysis and engineering study is estimated to take six months. That study is required to determine the best method of image conversion and storage, the equipment required, and to develop a plan for accomplishing the goal of converting such a large file. The study will examine existing file usage, and the benefits of potential file usage. At the conclusion of the study, we will be prepared to present a plan, with detailed estimates, for design and implementation of the new system. It is expected that the design, development, and construction phases will require 1½ years.

We expect the cost of implementing the automated, image-based system to replace the Copyright Card Catalog to be approximately $2.6 million. Our estimates of both cost and schedule are based on our preliminary evaluation of the project and may have to be revised after the initial analysis is complete.

The immediate and tangible benefit that comes with an automated replacement of the Copyright Card Catalog is that over 6,000 square feet of space in the Madison Building will be freed. This space will then be available for staff and work areas to process the increasing volume of copyright registrations.

The second benefit will be that the information about copyright registrations, dating 1870 to 1977, will not physically be confined to a single location within the Library. This information, once captured as images, could potentially be made available electronically to constituents nation-wide. It could supplement the on-line copyright database representing the 6 million registrations from 1978 to the present, which is now for sale to the public. Potential clients include the motion picture industry which makes heavy use of the card file through services located in the Washington area, and database service bureaus that have expressed interest in the existing on-line copyright database. Law firms, trade associations, and other organizations are also engaged in using and providing copyright services throughout the United States.

Question. How many searches are done annually against this file?

Response. The Copyright Office staff, the Library of Congress staff, and the general public searched over 300,000 titles in fiscal year 1989.

Question. Is your computer shop doing this work? Are you able to use an off-the-shelf software package? What equipment will be required to access the database? Can existing terminals be used?

Response. We expect that the goal of developing an automated, image-based replacement for the copyright card catalog will be met with a combination of work done by the Library's Information Technology Services Office, and contract support for engineering services and equipment integration. The first phase, the systems analysis and engineering study will be performed with engineering consultant contract support.

We expect the system to consist primarily of off-the-shelf technology. However, the unusual nature of our requirements may necessitate customization of specific software and/or hardware components to meet our needs. For example, to scan 45 million cards in a reasonable length of time (we estimate a two-year period), we will require scanning equipment capable of sustaining a speed of approximately 12,000 cards per hour.

Existing copyright terminals can not be used because they lack the electronics and resolution required for image processing and display. The workstations that the Copyright Office will require will be procured as a part of the project. It is expected that the workstations to be procured will be based on general-purpose intelligent workstations capable of accessing a variety of Library systems.

CONGRESSIONAL RESEARCH SERVICE

Mr. FAZIO. At this time we will take up the budget for the Congressional Research Service. We have the director, Joe Ross, who was appointed on March 31, 1986. Joe, welcome.

I am particular anxious to hear about the Japan Task Force and how we can go about convincing Senator Stevens that it can be done right.

The budget request is $53,706,000 and 883 permanent positions, plus 36 temporary positions. That's 19 more jobs.

Mr. ROSS. Thank you, Mr. Chairman.

I do have a statement for the record.

I would like to touch some of the highlights of it. The request is a large one for fiscal year 1991, some 16.6 percent over 1990.

Mr. FAZIO. 16.6 percent?

Mr. ROSS. That is what I calculated. I wanted to say 16 percent, but John Webster insisted I say 16.6.

Mr. FAZIO. He errs on the side of accuracy at all costs.

Mr. ROSS. More than 60 percent of the increase is for mandatory items. Full funding for required benefit and pay costs is critical to our ability to maintain current services without serious deterioration. We also are requesting funding to fill 28 vacant positions.

That is about one-third of the current year vacancies that we will have. Over the last two years, our work load has increased by, we calculate, 13 percent, and I just got the figures on the first quarter of this fiscal year, another 8.8 percent increase in this year.

Mr. FAZIO. Have you calculated the absorption costs for these unfilled spots?

Mr. ROSS. Yes.

Mr. FAZIO. You just didn't have the money to fill the need?

Mr. ROSS. That is right.

At the same time, the number of filled positions has declined due to absorption of mandatory pay raises. While we have been able to minimize the effect through improved productivity, through greater use of prepared materials, reassignment of staff, prolonged under-staffing is eroding our institutional capacity to serve the Congress.

When we cannot fill vacancies——

Mr. **Fazio**. Mr. Yates is very happy with the services of CRS.

Mr. Ross. I made a note of that.

Mr. **Fazio**. I think sometimes you think it is Congressman DeFazio calling when Fazio calls.

Mr. Ross. We make a clear distinction between the two of you.

Actually, of course, we don't know exactly what he is calling for. When a request comes from a committee, it gets top priority. Our statute requires we give priority to the committees. We do serve individual members.

We try seriously to avoid a deterioration in our ability to respond quickly to those factual kinds of questions that you like to ask us. I assume the kind Mr. Yates was referring to.

But we have suffered a good deal in being able to give the committees especially everything that they would like to receive from us. I will get into that specifically with the Japan Task Force.

Mr. **Fazio**. I want to thank you again for the help you and your staff provided the Ethics Task Force. We did benefit from your assistance on that.

MINORITY RECRUITING PROGRAM

Mr. Ross. Thank you.

I am a little worried, too, about further erosion in the base affecting our minority recruiting program which is important to us.

Mr. **Fazio**. How do you mean that?

Mr. Ross. We need positions for this program. If we can't use vacant positions for them because we don't have the funding to do that, we just are not going to be able to hire these people that we want through our graduate recruit program. At the end of fiscal 1989, we had 17 people put into permanent positions and 14 of those were minority applicants. We think it is a successful program we would like to continue.

JAPAN TASK FORCE

The request contains two new initiatives. As you mentioned, funds to improve support to Congress on U.S.-Japan relations. What we are looking for essentially is an increased capacity to conduct policy analysis and research on Japan issues, as well as an expansion of our selective dissemination of information system, creation of a journal, support for increased seminars and other programs for the members and key staffers, and, of course, there are other parts of the Library that have requests, too, to support this activity.

The second initiative in the 1991 request is to provide additional funding for training, career development, and staff recognition. This is part of a Library-wide program that you, I am sure, are aware of.

My statement next reports on the status of the strategic management review that we initiated last year and that I mentioned last year.

We will complete it during the summer this year. I will keep the committee informed of the results of that. I think we are going to see some initiatives out of that that will be very helpful budget-wise, as well as better support for the Congress as a whole.

We have all been operating in a difficult budgetary environment over the past few years. I do want to assure you we have worked hard to minimize the negative impact of automatic cuts and absorptions and to maintain services to the Congress.

That is as a result of having a very good staff, very dedicated staff, who enjoy their work and who, by and large, have been able to stay with us.

Most of our request this year is aimed at providing the minimum necessary to continue our service and to maintain our institutional capacity.

I appreciate the support the committee has provided to CRS in the past and I hope you will be able to provide us with the resources necessary to serve you.

I will be happy to answer any questions.

[The statement of Mr. Ross follows:]

Statement of Joseph E. Ross, Director
Congressional Research Service, Library of Congress
Before the
Subcommittee on Legislative Branch Appropriations
Committee on Appropriations
United States House of Representatives
February 5, 1990

Mr. Chairman and Members of the Subcommittee:

I am very pleased to appear before you to present the fiscal 1991 budget request for the Congressional Research Service. We are requesting a total of $53,706,000, which is an increase of 16.6 percent over fiscal 1990.

More that 60 percent of the increases in fiscal 1991 is for mandatory items. Full funding for required benefit and pay costs is critical to our ability to maintain current services without serious deterioration. Currently, the lapse between funding and costs for positions is more than 10 percent -- requiring us to leave one in ten positions vacant. This number will increase if the mandatory items are not fully funded, resulting in an unavoidable reduction in services to Congress.

We are also requesting funding to fill 28 positions, one-third of the current vacancies. Over the last two years workload has increased thirteen percent -- and the 8 percent increase in the first quarter of this year tells us that the trend continues. At the same time the number of filled positions has declined due to absorption of mandated pay raises. While we have been able to minimize the effect through improved productivity, greater use of prepared materials, and reassignment of staff, prolonged understaffing is eroding our institutional capacity to serve Congress. Turnaround time on even simple reference requests is unacceptably high for much of the year, and gets worse between January and April. Moreover, we do not have the staff to adequately track all of the public policy issues in-depth, or to the provide all of the close committee support requested.

Unfortunately, when we cannot fill vacancies we cannot continue our heretofore successful efforts to make our staff more representative of the nation's racial, ethnic and cultural diversity. We have worked very hard to make the Graduate Recruit and Graduate Cooperative Education Programs effective, and have developed a strong recruiting network. As of the end of fiscal 1989, 17 participants in these programs have been placed in permanent positions, 14 of them are minorities. We need funding to fill jobs if we are to meet congressional demand for research and analysis, and to avoid jeopardizing affirmative action efforts.

Our request also contains two new initiatives. First, we are requesting funds to improve support to Congress on U.S.-Japan relations. The request is for substantially increased capacity to conduct policy analysis and research on Japan issues, expansion of the CRS Selective Dissemination of Information (SDI) system to provide better Japan coverage, creation of a policy journal, and support for increased dialogue with Congress on Japan issues. The Library's Collections Services and Optical Disk budgets also contain requests to support this activity.

The second initiative in the 1991 request is to provide additional funding for training, career development, and staff recognition. CRS' ability to maintain and improve services to the Congress is wholly dependent upon a motivated, innovative and knowledgeable staff. Present funding for performance awards and for training is significantly below the average for other government agencies; this request is designed to rectify that and build the capacity for future excellence and innovation.

Last year I reported on some actions to improve products, services, research coordination and planning. To continue these efforts, we have undertaken a comprehensive Strategic Management Review to be completed in 1990. CRS embarked on this review in response to two principal concerns. First, Congress has changed over the past 15 years; while CRS has made significant incremental operational changes during this time, we felt the need for a more comprehensive assessment of congressional needs for and uses of research, analysis and general information -- and

CRS' role in meeting those needs. Second, if assumptions about future difficulties of reducing the Federal budget hold, we believe it prudent to plan for the possibility that CRS' budget could remain relatively constant (in real terms) over the next several years. At the same time, we expect demand for our services and products will increase. In this circumstance, CRS will have to be much more rigorous in setting and enforcing priorities, with the help of our oversight committees, and taking the hard actions to limit and target services. I believe that our Strategic Management Review will help us do this, and to be even more responsive to changes in the Congress, and to direct resources to meet increased congressional demands for in-depth policy analysis and more timely and comprehensive coverage of the broad range of issues facing the Congress.

We have all been operating in a difficult budgetary environment over the past few years. I want to assure you that we have worked very hard to minimize the negative impact of automatic cuts and absorption, and to maintain services to the Congress. This is a significant achievement for CRS staff when you consider that our workload has increased over the same time. I am very proud of the staff and their ability to provide high quality services to Congress in the face of mounting workload. Most of our request this year is aimed at providing the minimum necessary to continue these services, and to maintain our institutional capacity to help the Congress analyze and address the pressing and complex issues of our society. I appreciate the support this committee has provided to CRS in the past, and hope you will be able to provide us with the resources necessary to serve you. I will be happy to answer any questions you may have.

NEED FOR CONTINUING EVALUATION OF ISSUES

Mr. FAXIO. You are requesting 10 positions ($557 thousand) for the Japan Task Force. That will include an editor for a quarterly journal. Last year, we asked CRS to coordinate a Library-wide proposal for this new task force. There are requests in the Salaries and Expense budget also. This would be a good place to summarize the overall Japan Task Force items in the budget. Go ahead, Joe.

There may be interest from other quarters regarding Eastern Europe, Central America, West Germany, AIDS, etc. As an alternative to having task forces, doesn't the Library, including CRS have expertise that needs to be adjusted or emphasized from time to time?

We have the same situation at GAO. Issues and audit requirements change, just as priorities and programs change. It requires some reorientation by our agencies, not necessarily ad hoc add-ons. That's the expensive approach—it may be the most desirable, but it is expensive, and somewhat inefficient.

Mr. ROSS. Of course, I think it is our job to do that. By and large, we do it. I should emphasize really that what we are doing now is far from insignificant.

Mr. FAZIO. I agree with you. Sometimes when Congress becomes involved, it wants to re-invent the wheel. The question is whether you are making these evaluations continually. For instance have you determined if enough has been done on the Japan issue.

Mr. ROSS. Yes. We are. We will continue to do that. But the request on this issue area from numerous Members, as well as our request from, you know, committees like the two foreign affairs, foreign relations committees, and the trade subcommittees of the tax committees and the joint economic committee, we have been continuing to serve them.

We are not getting complaints, but at the same time, we are negotiating downward the requests. We are telling them here is what we can do in the time frame that you need it.

I think it is a shame in an issue area like this. There are others, too. But in an issue area like this that so many Members think is really a crucial one to our future—our relations with Japan—we are doing a lot and we are doing more than we did last year at this time with existing resources.

A lot of it, I have to give credit to folks in the Library who are not in CRS. Ron Morse, the Library's Development Officer, has been very—extremely helpful to us. People in the Asian Division have been very helpful to us.

Mr. FAZIO. That is great. That is really the way it has to go. You have to go back to your basic resources, which is the Library itself.

Mr. ROSS. What the Members want is more—and, of course, if they mandate more, we need more resources.

Mr. FAZIO. Of course, we try to avoid the mandates. That doesn't remove the need to be responsive, I realize. I appreciate that.

Mr. ROSS. We feel this is a response to congressional demand.

Dr. BILLINGTON. In fairness to CRS, I think it is worth pointing out they do some of these things without creating a task force. In the Russian area, they set up a clearinghouse and a newsletter. All these parliamentarians are coming from Russia and other Eastern

European countries. Joe, John Hardt, and his colleagues have done a very good job of providing the kind of, in effect, task force without setting up a separate structure.

I should say part of the whole purpose of our reorganization is to set up structures that will deal with crucial problems without necessarily adding a permanent structure. We have a Special Projects Office, which Rhoda Canter has been heading, whereby we do Library-wide projects. This whole arrearage study Mike Shelley did was done out of the Special Projects Office. We didn't create a whole new bureaucratic entity to deal with that.

We have a structure in the Library and a commitment to doing special things for a fixed period of time when they are on the crisis agenda without creating a permanent structure in the Library.

So I think what both CRS and the Library are doing very creatively in response to these things is a good example.

Mr. FAZIO. That seems to me to be ideal. Although sometimes a task force makes it more visible and the attention causes people to feel better about it.

Dr. BILLINGTON. This was a request coming to me as well as CRS. I think the feeling was there was a consensus this was something that required a special added effort.

Mr. FAZIO. Hopefully, this will satisfy some of the demand felt by our colleagues. Do you think it will, Mr. Ross? Have you had enough contact with the Members to know?

Are you now meeting the need? Is this what Senator Stevens had in mind?

Mr. ROSS. I haven't heard from Senator Stevens yet. I think we will. I don't know whether this will be enough.

I would say, if you asked me to prioritize among the various aspects of this request, I would say first would be additional funds for additional resources to the Asian Division in the Library, number one.

Mr. FAZIO. The basic foundation?

Mr. ROSS. Yes. They need more help to help us to serve you and then we need additional analytical resources in CRS.

Mr. FAZIO. I will take that comment under advisement. It makes sense. It may be that the basic collection in the Library needs bolstering.

Then we work our way to a point where it is most relevant to the Member, and to other people in this society.

Mr. ROSS. Yes.

COOPERATION WITHIN THE LIBRARY

Mr. FAZIO. Is the investment that we made a few years back in equipment, catalogers, software networks, et cetera, paying off today, as you see it?

Mr. ROSS. In equipment and catalogers in CRS?

Mr. FAZIO. Yes. Resources were directed toward the Asian collection of the Library. Are you finding it easy to access information from the Library?

Mr. ROSS. Oh, yes.

Mr. FAZIO. Are you retrieving material quickly?

Mr. Ross. I would have to confess that until Dr. Billington emphasized the necessity for all of us to work together more than we had been that a great many of the resources of the other parts of the Library were unknown to me; that doesn't mean they were unknown to researchers and analysts in CRS, that was the case—but we worked out much better relationships.

Some examples. The Geography and Map Division—I had no idea how much help they gave to our Foreign Affairs Analysts, as well as our environmentalists.

Mr. Fazio. It comes down to people ultimately?

Mr. Ross. Yes.

Mr. Fazio. The other efforts aren't successful unless the staffs are in a cooperative mode, is that what you are saying?

Mr. Ross. Right. You know, we established a new service unit called Congressional Services, which I am pleased to head, but that brought together people throughout the Library who also provide service to Congress in addition to what CRS does.

As a matter of fact, we had a meeting this morning with the group, a very fruitful meeting. That has helped us to serve the Congress better.

Dr. Billington. Mr. Chairman, I think the question, the cataloging part of it, Ms. Avram might want to speak to it—the Chinese, Japanese, Korean.

Ms. Avram. The catalogers were hired to input Chinese, Japanese and Korean records into the Research Library Information Network on the West Coast.

Mr. Fazio. Stanford University?

Ms. Avram. Stanford, right. I would say in response to what Joe has been talking about that it has helped because we have people in collection services, the unit I am in charge of, assisting with this Japanese task force effort.

One of the first things we were asked by the Congress was to assess the collection. Of course, that network helps in assessing not only our collection but the collections of other major universities, too.

So I would say yes.

Mr. Fazio. Is that included in the backlog of arrearages?

Ms. Avram. That material is done.

THANKS TO CRS

Mr. Fazio. Good. Joe, I don't have any complaints to bring to you. No news is good news, right?

Mrs. Boggs. Mr. Chairman, I would like to especially thank Mr. Ross and the Congressional Research Service for cooperating so much with Dr. Billington's efforts in regard to the Bicentennial of Congress.

You know, CRS put out a very successful book called "Respectfully Quoted". It was out of print in about seven months.

It has been re-ordered. The Government Printing Office is reprinting it. They have back orders already—arrearages again—of about 900 copies.

Mr. Fazio. That's wonderful.

Mr. Ross. It was very successful. The whole program was really a labor of love.

Mr. Fazio. You are not talking about "To Make All Laws", are you?

Mr. Ross. No. This was our publication put together by our Congressional Reference Division, quotes that we found for Members—at the request of Members of Congress, that are not published in regular quote books.

Mr. Fazio. That book is great. Members are much more effective public speakers when they can quote famous men and women.

Dr. Billington. It is immensely popular with our visitors from Europe. Everybody wants a copy.

Mr. Fazio. It never ceases to amaze me when traveling in a distant land, for instance in a shipyard in Gdansk, where we might hear a quotation of an American.

It makes it easy to say what an impact we are having on the rest of the world.

Mrs. Boggs. Mr. Chairman, the Library has done wonderful things for the celebration of the Bicentennial of Congress. Dr. Billington has very modestly mentioned just a few.

There has been such tremendous cooperation, magnificent exhibitry, and good scholarship. We are very grateful to you for everyone that worked in all the efforts.

Dr. Billington. Thank you. People really enjoyed pitching in.

We discovered a great deal. We are going to continue. We have projects that we hope will continue this.

In addition to everything else, I think we identified a real area of neglect in the otherwise rich investment of Americans in the study of their own history. Dave McCullough made his point in addressing the joint session.

We hope to be able to continue to highlight and work creatively and keep aspects of this commemoration alive.

Mrs. Boggs. As you know, one of Dr. David McCullough's suggestions was that we really should do more about biographical information about Members of Congress.

I am so pleased that you agreed with Senator Byrd and me that this was a very worthwhile project. We are in the process of trying to put it together, Mr. Chairman.

Mr. Fazio. That's great.

The two of you normally succeed without delay.

Thanks, Joe. I have a couple questions that can be answered for the record.

[The questions and responses follow:]

CRS Workload

Question. Give us an idea of the CRS workload. How many requests do you handle from Members and Committees? Some of your people were very helpful to us in the Ethics Bill last year. I think we sent a letter.

Response. Last year CRS cleared 501,546 requests fom Members and Committees of Congress, distributed as follows:

Source	Number of Requests	Percent of total requests	Number of hours	Percent of total hours
Member	320,831	64	248,819	46
Committee	104,828	21	255,932	47
Constituent	75,887	15	37,064	7
Total	501,546		541,815	

Question. Update the workload data on pages 424-425 of last year's hearings.
Response.

I.—INQUIRIES CLEARED AND RESEARCH HOURS FOR MEMBER, COMMITTEE, CONSTITUENT WORKLOAD

	Requests	Hours
Member	320,831	248,819
Committee	104,828	255,932
Constituent	75,887	37,064
Total	501,546	541,815

II.—INQUIRIES CLEARED AND RESEARCH HOURS FOR HOUSE AND SENATE STANDING COMMITTEES

Committees	Research		Reference		Total	
	Requests	Hours	Requests	Hours	Requests	Hours
House standing:						
Agriculture	617	3,881	1,032	501	1,649	4,382
Appropriations	555	3,228	703	332	1,258	3,560
Armed Services	394	3,163	1,443	748	1,837	3,911
Banking, Finance and Urban Affairs	626	3,086	2,293	815	2,919	3,901
Budget	487	751	1,245	537	1,732	1,288
District of Columbia	51	171	1,081	325	1,132	496
Education and Labor	2,137	7,219	2,401	875	4,538	8,094
Energy and Commerce	1,323	5,627	5,684	2,082	7,007	7,709
Foreign Affairs	1,021	10,989	2,955	1,495	3,976	12,484
Government Operations	873	3,349	2,758	1,035	3,631	4,384
House Administration	519	4,488	1,749	558	2,268	5,046
Interior and Insular Affairs	251	1,515	474	272	725	1,787
Judiciary	906	4,046	2,935	1,115	3,841	5,161
Merchant Marine and Fisheries	404	2,118	1,861	708	2,265	2,826
Post Office and Civil Service	812	11,146	803	307	1,615	11,453
Public Works and Transportation	337	2,849	1,788	555	2,125	3,404
Rules	194	998	306	127	500	1,125
Science, Space and Technology	557	3,257	1,906	713	2,463	3,970
Small Business	381	1,337	1,289	529	1,670	1,866
Standards of Official Conduct	20	27	70	22	90	49
Veterans' Affairs	75	158	173	64	248	222
Ways and Means	1,367	8,692	1,511	909	2,878	9,601
Total	13,907	82,095	[1] 37,722	[2] 14,835	[1] 51,629	[2] 96,930
Senate standing:						
Agriculture, Nutrition, and Forestry	538	4,454	674	324	1,212	4,778
Appropriations	501	3,643	673	423	1,174	4,066
Armed Services	218	1,308	823	374	1,041	1,682
Banking, Housing, and Uban Affairs	514	2,266	963	400	1,477	2,666
Budget	359	858	1,262	608	1,621	1,466
Commerce, Science, and Transportation	470	4,317	1,000	399	1,470	4,716

II.—INQUIRES CLEARED AND RESEARCH HOURS FOR HOUSE AND SENATE STANDING COMMITTEE—Continued

Committees	Research		Reference		Total	
	Requests	Hours	Requests	Hours	Requests	Hours
Energy and Natural Resources	214	1,482	423	179	637	1,661
Environment and Public Works	330	3,043	847	328	1,177	3,371
Finance	685	3,070	737	335	1,422	3,405
Foreign Relations	939	9,514	1,829	1,005	2,768	10,519
Governmental Affairs	1,273	8,353	2,180	1,329	3,453	9,682
Judiciary	1,133	2,524	2,224	1,204	3,357	3,728
Labor and Human Resources	1,309	4,178	1,613	715	2,922	4,893
Rules and Administration	326	2,003	459	188	785	2,191
Small Business	87	240	299	127	386	367
Veterans' Affairs	132	248	415	173	547	421
Total	9,028	51,501	[3] 18,359	[4] 8,435	[3] 27,387	[4] 59,936

[1] Total reference inquiries include 1,262 Info Pack requests not identified by specific committee name.

[2] Total reference hours include 211 hours distributing Info Packs not identified by specific committee name.

[3] Total reference inquiries include 1,938 Info Pack requests not identified by specific committee name.

[4] Total reference hours include 324 hours distributing Info Packs not identified by specific committee name.

Mr. FAZIO. Mr. Porter has also submitted a question which he would like to have answered for the record.

[The question and response follows:]

QUESTION SUBMITTED BY MR. PORTER

Question. Do Congressional district offices have the same access to the services you provide as Washington offices have? Since much of what district offices do is casework, involving the functions of different government agencies, it would seem to me that CRS would be especially helpful. Looking at your workload, what percentage of requests are made from these district offices?

Response. Congressional district offices have access to all the same services as Washington offices, with the exception of those services offered in person such as seminars. However, we produce audio and videotapes of many seminars so that Members or staff who could not attend in person can watch the seminar at a later date.

Seventeen percent of CRS's requests during the last fiscal year came from district offices. They types of requests were concentrated on background information on public policy issues and legislation, or requests for copies of CRS products; very few requests were placed that required major research.

Though CRS does not do any casework for congressional offices, we are aware of the need offices have for skills training for caseworkers and for current information about executive agencies that is relevant to caseworkers. In this area we offer two services:

The District/State Institute, offered quarterly, has three presentations that have been structured based on recommendations from caseworkers. The first session outlines the important role of casework in a congressional office and offers tips and suggestions for dealing with casework effectively and efficiently. The second session is a set of roundtable discussions, led by experienced caseworkers, on specific types of cases. The attendees have evaluated this session as one of the valuable ones because it is so practical and directly related to their jobs. The third session is geared toward helping caseworkers and project staff find sources of funding, public or private, for supporting district and community initiatives. For both the casework and funding sessions, CRS contracts with specialists for these presentations.

A new service that began in October of 1989 was started in response to caseworkers' expressed need for current information on executive agencies. The monthly CRS Update, which is mailed directly to all congressional offices, Washington and district based, carried a two page article on an agency prepared by that agency. We intend to issue the entire collection of agency papers as a CRS report.

BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

Mr. **Fazio**. This program provides braille publications, recorded material, and reading machines to the handicapped. Several regional centers and the Washington operation comprise the distribution network.

You are requesting $42,211,000 and 119 positions for fiscal year 1991, an increase of $5.1 million.

Welcome again, Mr. Cylke. Do you have any general comments for us?

Mr. **Cylke**. The usual.

I want to thank you very much for the support you have given in the past and tell you that we have had a successful year. Very successful.

We served a readership of about 712,000-plus and circulated 21 million items to those people with the help of our network libraries, two of which are in California. That is my statement.

Mr. **Fazio**. How many of them are multi-state regional libraries?

Mr. **Cylke**. There is a regional and sub-regional type library. The multi-state centers are actually warehouses. We have in all 56 regional libraries. The total number of libraries comes to 160. You can see there are many sub-regionals.

There is one regional in every state except Wyoming and North Dakota. That is a population situation.

In California we have two, the Braille Institute of America in Los Angeles and the State Library in Sacramento.

The Los Angeles library is the one partiarlly responsible for our establishment 59 years ago. The multi-state centers you referred to are in Cincinnati, in Salt Lake City, and in Philadelphia. They are warehouse libraries supporting the network of libraries.

Mr. **Fazio**. How are you doing in bringing in potential users who have been beyond your reach? Are you finding the per capita participation increasing.

Mr. **Cylke**. Our participation has basically leveled off. It has for some years. We do have a public relations effort. We do radio, TV, newspaper, periodical, display items, exhibits and so forth.

We are increasing our user base at about four to five percent a year. That means actually there are about 15 percent new people each year. People drop out for one reason or the other and new people come in at about 10 to 12 percent each year.

I would say user particiation is very good. It parallels the rate of the public libraries in the United States. We have 3 million eligible; 712,000 use the program. That is not a bad ratio. We believe we should expose individuals to the awareness of the program and then, if they like to read books, we want them to, but we certainly don't want to force people to use libraries and we don't want to make up figures.

The other thing that you might find of interest is that we count real people every year. In other words, in order to be counted as a user of the program, you had to have used it during a calendar year period of time.

Mr. **Fazio**. They are not retained on the list?

Mr. **Cylke**. In the public library as you know, when you go in to register as a borrower, your borrowers' card is for a two- or three-year period, or in some cases indefinite, whether you do or don't use the program. They count potential users—we count actual users.

Mr. FAZIO. Mr. Lewis, by the way, asked to place in the record his appreciation of your excellent service as director of the National Library Service for the Blind and Physically Handicapped. Even though he is not here, he is thinking of you.

Mr. CYLKE. We think of him and appreciate his interest.

RADIO FOR THE BLIND

Mr. FAZIO. Any questions, Mrs. Boggs?

Mrs. BOGGS. No. I, too, would like to add my expressions of gratitude.

There is something that I wondered about. In New Orleans there is a radio station for the blind. They read various newspaper and materials. Do they get advice on their format from the library?

Mr. CYLKE. I would like to say we cooperate with them. The radio reading service, which exists throughout the United States, is not a Library of Congress operation. They read the daily newspapers; they read the advertisements; magazines. They bring people up to date on local affairs and local news and do a super job of it.

In the local area, it is the Washington ear which is located in Silver Spring, Maryland. They generally don't do books. There is one significant problem, obviously, with live radio time. You have to be at the radio listening at the time that the material is being read to you. If you are talking about a book, you are talking six, nine, 12 hours which would mean you would be reading for six or seven days in a row every day at the same time.

They stay away from books, but deal with the more current topics.

Mrs. BOGGS. Thank you.

Mr. FAZIO. Thank you very much.

STAY-EVEN REQUEST

Mr. CYLKE. May I say one thing?

In closing, I know this is a tight budget year. I have heard that. I appreciate that. I have appreciated it in the past.

However, I would like to stress that our our request is a stay-even request. It is not for new programs. It is a basic, bare bones, inflation, cost of materials—raw materials and so forth. Costs have hit us hard. Our requests in recent years have been quite modest. While this one might not appear to be modest, if you do——

Mr. FAZIO. Are you trying to make up for the last couple of years.

Mr. CYLKE. The last five years. What you can do, of course, would really be appreciated, with the knowledge it is not new work and, not frills.

Mr. FAZIO. Of course, we could give you what you ask for and then end up with a sequestration. That is the problem.

Mr. CYLKE. I understand.

Mr. FAZIO. Not that we were trying to be chintzy in the past. It is that the committee can no longer predict the final figures due to sequestration and other reductions.

Dr. **Billington**. They have a particular problem because 85 percent of this is for material things which are externally priced. They are really victimized.

Mr. **Cylke**. We understand.

Mr. **Billington**. Unlike most of our requests which are heavily personnel, these are heavily equipment.

Mr. **Cylke**. Actually the war on drugs—I was following the newspapers. Suddenly, I was pleased you were fighting the war on drugs, but sad that it came out of the program of course. It is a mixed feeling—we didn't feel as bad about the war on drugs as the other cuts.

Anyway, thank you.

Mr. **Fazio**. I am glad you felt that the reduction for the drug war was appropriate. However, the sequestration is a mindless sort of process that drives us all crazy. Those in favor of sequestration don't really want to know its impact because then they would feel badly about the adverse results.

Mr. **Cylke**. You can talk to them and tell them.

DON'T WORRY—BE HAPPY

Mr. **Fazio**. Don't worry, be happy. It is a great song. It has a calypso beat.

Mr. **Cylke**. Actually—I will stop then—that is a song I have on a a cassette player in my office.

I found a wonderful personnel technique. When someone comes in with a problem, I ask them to sit for a moment, and I play the song. As the song goes on for three minutes, they look at me as though I am insane. They can't help but laugh. No problem—Be Happy. Everybody goes away. Everybody is happy.

Mr. **Fazio**. I think Mr. Darman should probably use it on Mr. Whitten.

Mr. **Cylke**. Mr. Whitten hasn't made a tour of Taylor Street yet. Perhaps you should send him out. We could play it for him.

Mr. **Fazio**. Thank you very much.

We will hope we can help you.

There are a few questions on the National Library Service which can be answered for the record.

[The questions and responses follow:]

Books for the Blind and Physically Handicapped

Question. For the record, update the readership, acquisition, and machine data on pages 428-435.

Response. Herewith are copies of eight (8) charts which update readership, acquisition, and machine data.

Chart 1

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED
LIBRARY OF CONGRESS

NATIONAL PROGRAM IN ALL NETWORK LIBRARIES
READERS AND CIRCULATION—BOOKS AND MAGAZINES
FIVE-YEAR SUMMARY

(All figures rounded to the nearest 100)

Fiscal Year	Readership	Percent Change from Previous Fiscal Year	Circulation	Percent Change from Previous Fiscal Year
Braille:				
1985	18,300	+ 7.7%	703,600	+ 1.2%
1986	20,900	+14.2%	648,300	- 7.9%
1987	22,400	+ 7.2%	733,000	+13.1%
1988	22,600	+ 0.9%	728,800	- 0.6%
1989	21,700	- 4.0%	651,800	-10.6%[1]
1985-1989 change	+ 3,400	+18.6%	-51,800	- 7.4%
Average annual change	+ 900	+ 4.6%	-13,000	- 1.5%
Recorded:[2]				
1985	646,300	+ 5.6%	18,926,600	+ 3.2%
1986	661,500	+ 2.4%	19,237,500	+ 1.6%
1987	669,000	+ 1.1%	19,542,400	+ 1.6%
1988	687,900	+ 2.8%	19,013,200	- 2.7%[3]
1989	690,600	+ 0.4%	19,562,900	+ 2.9%
1985-1989 change	+44,300	+ 6.9%	+636,300	+ 3.4%
Average annual change	+11,100	+ 1.7%	+159,100	+ 0.9%

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[1] Periodical subscription lists purged.

[2] Combines cassettes and discs.

[3] Periodical subscription lists purged.

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Chart 2

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

SUMMARY OF WORKLOAD

	FY 1987 Actual	FY 1988 Actual	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
APPROPRIATION	$36,198,000	$36,186,000	$36,474,000	$37,112,000	$42,211,000
TOTAL READERSHIP	691,400	710,500	712,300	717,000	721,700
PERSONNEL	119	119	119	119	119
BOOKS AND MAGAZINES:					
Mass-produced books	2,260	2,476	2,225	2,129	2,180
Mass-produced magazines	67	70	70	70	70
Total copies to libraries	1,769,700	1,916,000	1,795,000	1,741,000	1,775,000
Total volumes circulated	20,275,000	19,742,000	20,214,700	20,619,000	21,000,000
MACHINES PROCURED	60,000	45,000	46,000	60,000	60,000
PER CAPITA STATISTICS:					
Expenditure per capita	$ 52.36	$ 50.93	$ 51.21	$ 51.76	$ 58.49
Copies available per reader	2.6	2.7	2.5	2.4	2.5
Circulation per reader (containers & volumes)	29.3	27.8	28.4	28.8	29.1
EXPENDITURE PERCENTAGES:					
Equipment and books	74.2%	73.0%	72.9%	75.6%	72.8%
Personnel (Compensation & Benefits)	12.2%	12.5%	12.4%	12.6%	12.5%
Support (Publications, research, travel, multistate centers, national bibliographic service)	13.6%	14.5%	14.7%	11.8%	14.7%
TOTAL (percent)	100.0%	100.0%	100.0%	100.0%	100.0%

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Chart 3

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

ACQUISITION PLAN—BRAILLE MATERIALS
1991

	Number of titles	Average number of copies	Average cost/ title	Total cost
Press Braille Books......................	400	61	$ 6,721	$ 2,688,342
Magazines, General.......................	23		73,717	1,695,500
Magazines, Library of Congress...........	3		76,752	230,257
Miscellaneous (catalogs, bibliographies, manuals, braille training, etc.)....				151,793
Subtotal (3110 funds).........				$ 4,765,892
Magazines, Music.........................	1			12,600[1]
TOTAL FUNDS....................				**$ 4,778,492**

ACQUISITION PLAN—RECORDED MATERIALS
1991

	Number of titles	Average number of copies	Average cost/ title	Total cost
*Recorded Cassette Books:				
General..............................	1,620	875	$ 4,657	$ 7,543,681
Foreign..............................	50	320	3,813	190,629
Flexible Disc Books......................	110	2,880	13,960	1,535,623
Flexible Disc Magazines, General........	38	5,667	100,470	3,817,876
Magazines, Library of Congress...........	1		527,407	527,407
Miscellaneous (catalogs, bibliographies, manuals, mailing list maintenance, inventory control, automation support, etc.).......................				$ 515,758
Subtotal (3111 funds).........				$ 14,130,974
Magazines, Music.........................	4		36,802	147,207[1]
TOTAL FUNDS....................				**$ 14,278,181**

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[1] 3104 funds

*Container costs are included in this line item.

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Chart 4

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

COMPARATIVE ACQUISITION PLAN—BRAILLE MATERIALS[1]

1989 - 1991

	1989 Actual	1990 Estimated	1991 Estimated	FY 1991 Estimated vs. FY 1989 Actual
Press Braille Books..........................	365	374	400	+35
Magazines, General (LC-produced)............	23	23	23	0
Magazines, BPH Program (LC-published).......	3	3	3	0
Magazines, Music Program (LC-published).....	1	1	1	0

COMPARATIVE ACQUISITION PLAN--RECORDED MATERIALS[1]

1989 - 1991

	1989 Actual	1990 Estimated	1991 Estimated	FY 1991 Estimated vs. FY 1989 Actual
Recorded Cassette Books:				
General....................................	1,700	1,600	1,620	-80
Foreign....................................	50	50	50	0
Flexible Disc Books........................	110	105	110	0
Magazines, General.........................	38	38	38	0
Magazines, BPH Program (LC-published)......	1	1	1	0
Magazines, Music Program (LC-published)....	4	4	4	0

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[1] Projections updated as of 1/10/90

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Chart 5

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED
LIBRARY OF CONGRESS

Proposed Fiscal Year 1991 Machine and Related Equipment Acquisition Chart

	Units	Funds
Machines:		
Cassette book machines	48,000	$ 7,344,000
Talking book machines (phonographs)	12,000	1,575,000
Drawing Standards		$ 80,000
Miscellaneous Accessories		$ 40,000
TOTAL		$ 9,039,000

Note: Total inventory of sound reproduction units assigned to patrons, or pending assignment, at machine-lending agencies as of December 31, 1989:

Cassette book machines	547,687
Easy cassette book machines	40,050
Talking book machines (phonographs)	208,182
Combination cassette/phonograph machines	200
TOTAL	796,119

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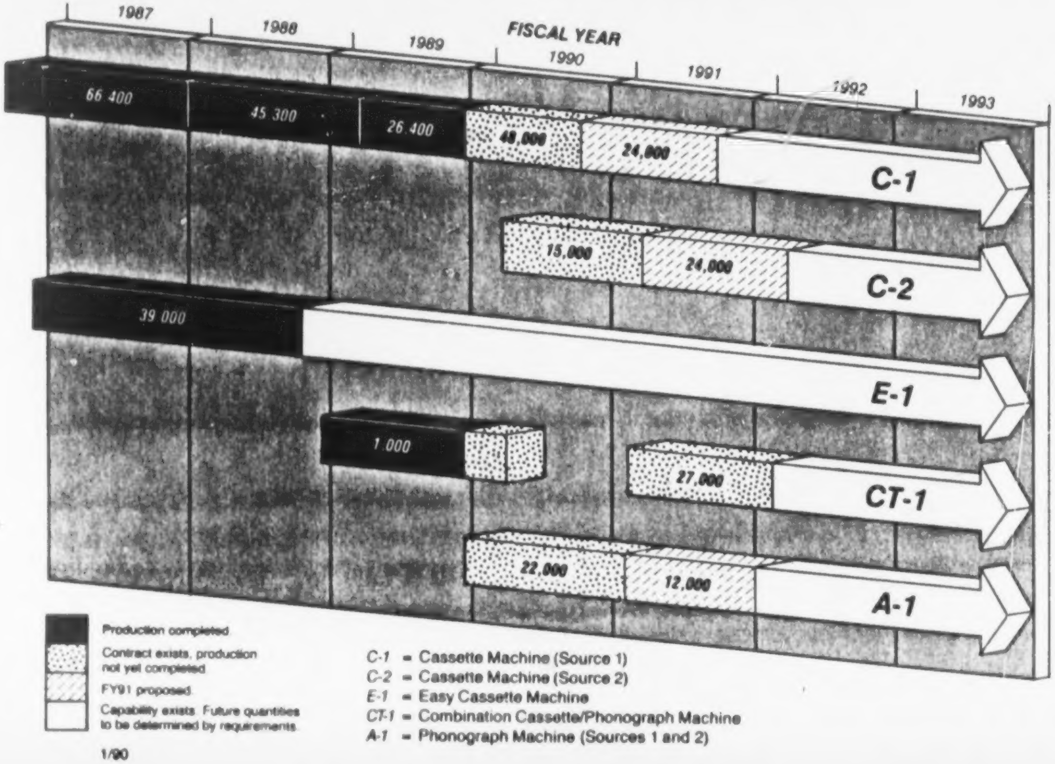
Chart 6

The Library of Congress
National Library Service for the Blind and Physically Handicapped

Machine Production Schedule



C-1 = Cassette Machine (Source 1)
C-2 = Cassette Machine (Source 2)
E-1 = Easy Cassette Machine
CT-1 = Combination Cassette/Phonograph Machine
A-1 = Phonograph Machine (Sources 1 and 2)

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Chart 7

The Library of Congress
National Library Service for the Blind and Physically Handicapped

Machine Repairs

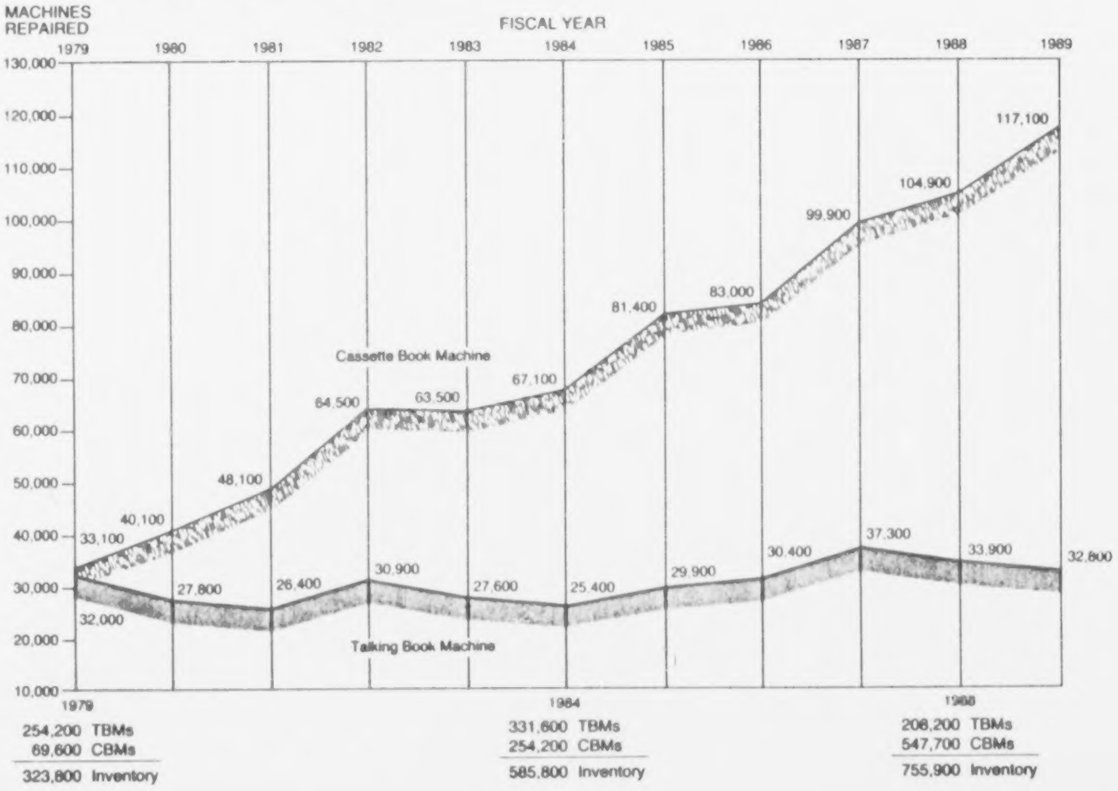

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Chart 8

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED
Library of Congress

SELECTED TRENDS IN PROGRAM ACTIVITY
1974-1989

	1974	1989	% Change
Readership[1]	318,300	712,330	+124%
Circulation[2]	11,222,800	20,214,700	+ 80%
Production--Books[3]			
Braille:			
Titles	247	365	+ 48%
Volumes	25,000	44,500	+ 78%
Recorded Disc:[4]			
Titles	761	0	N/A
Containers	639,500	0	N/A
Recorded Cassette:			
Titles	65	1,700	+2,515%
Containers	151,100	1,428,000	+845%
Flexible Disc:			
Titles	N/A	110	+100%[5]
Containers	N/A	330,000	+100%
Production--Magazines			
Braille:			
Titles	21	27	+ 29%
Copies	214,200	356,000	+ 66%
Flexible Disc:			
Titles	25	43	+ 72%
Copies	4,263,000	4,428,000	+ 4%
Libraries:			
Regional	53	56	+ 6%
Subregional	83	92	+ 11%
Multistate Centers	N/A	3	+100%[5]
Staff	99	119	+ 20%
Budget	$9,894,600	$36,474,000	+269%

[1] Readership totals include braille, recorded disc, and recorded cassette users.

[2] Refers to volumes and containers. Includes books and magazines.

[3] Excludes volunteer-produced materials.

[4] Phased out.

[5] Percent change from inception.

N/A = Not Applicable

2/90

BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

Question. You estimate 158,000 machines will be repaired in FY 1991. How many machines are in use? Where are these repairs made?

Response. The total inventory of sound reproduction units assigned to patrons, or pending assignment, at machine-lending agencies as of December 31, 1989, was:

Cassette-book machines	547,687
Easy cassette-book machines	40,050
Talking-book machines (phonographs)	208,182
Combination cassette/phonograph machines	200
Total	796,119

It is estimated that in FY 1991 a total of 812,000 machines will be in use.

Machines are repaired by four commercial facilities, identified by competitive bid and operating under contract to the National Library Service for the Blind and Physically Handicapped; 3,000 volunteers from the professional electronic industry community; and paid staff members in approximately 80 machine-lending agencies in the network of cooperating libraries.

Question. How many new machines go out each year?

Response. New machines distributed to patrons vary each year depending upon the number of partrons who come into the program and how many machines are retired from service. From 1985 to 1989 our average annual readership change has been +11,100—a total of 44,300. In addition each year approximately 12 percent of our patrons leave the program through death or other causes. New patrons take their place. In 1989 NLS/BPH distributed 41,700 new machines.

RESTORATION AND RENOVATION

Mr. FAZIO. I would like to touch on a couple other items. One is the restoration project. Can you give us an update on the status of that project? Phase I is closing to completion, I gather.

Are you satisfied so far with the results? When I say you, I mean the corporate you. I am sure some are more satisfied than others?

Dr. BILLINGTON. It has been a very complex process. We are pleased that it is moving along. The main reading room we hoped to have it ready for opening this spring. It looks like it will be the fall.

So there are the usual sort of slight delays.

Mr. FAZIO. When was it originally scheduled to reopen?

Dr. BILLINGTON. About now, February of this year. Then we would have to do some refurnishing, reconditioning. It was supposed to come on stream in the late spring or early summer. Now it looks like probably the fall.

Mr. FAZIO. What happened?

Dr. BILLINGTON. Complications with the painting, I think, were largely responsible.

Mr. Trew can speak in more detail to this. In general, we are running a little behind but pretty well up with Phase I getting ready for the phase two process.

Mr. White faces many complexities and unanticipated problems. We are very sympathetic with him and work closely with him.

Mr. FAZIO. I didn't dwell on this with Mr. White. Isn't Phase I almost two years behind?

Mr. TREW. More over this course of the project.

Mr. FAZIO. I shouldn't say Phase I. The entire project is two years behind schedule.

Dr. BILLINGTON. Not the way it was originally described to me.

Mr. TREW. From the original dates, yes. They ran into a lot of problems, as you probably know, in the Jefferson Building, particularly with asbestos and have encountered numerous other things they hadn't anticipated.

Mr. **Fazio**. Some of this was the difficulty of getting people to relocate within the library, too; wasn't it?

Mr. **Trew**. In some cases when renovation work created hazards.

Mr. **Fazio**. The Architect would probably begin there. You may end there. That is part of the picture; isn't it?

Mr. **Trew**. It has been very difficult for us to occupy half a building with things going on in the other half. For instance, in the book stacks now the temperatures are up in the Jefferson book stacks to 91 degrees and a little beyond. We have actually had to close them. That is because they are working on some of those air conditioning units. It has not been a clean process.

We would have preferred to do it all a building at a time.

Dr. **Billington**. It is very difficult to do a process like this both in terms of the efficient functioning of the restoration and in terms of maintaining good human conditions.

The asbestos wasn't anticipated. The problems of heating up in the stacks wasn't anticipated.

Mr. **Fazio**. What is causing the high temperatures?

Dr. **Billington**. They don't have air conditioning systems yet. You block off large parts of it. It is a very complex building. The Main Reading Room, for instance, when it is redone it will be quite spectacular. You will have equipment for computational activity, kind of digital machinery and hook up there. At the same time, we are preserving the old card catalog for those who are as attached as I am and many scholars are.

Mr. **Fazio**. It will be relocated?

Dr. **Billington**. It will be in a bay right off the reading room. It will be easily accessible. We will have glass partitions in there that will prevent noise, permit people to have the vistas of that marvelous main reading room, but will block off some of the noise that visitors and people asking questions will have produced. I think it will be worth waiting for.

Most of the delays that have occurred at least while I have been on the watch on this thing have been insofar as the Library—you question about the Library personnel are concerned—have really been the result of concerns about unanticipated discoveries of asbestos, making 100 percent sure we had that all sealed off, dealing with the temperature problems that are created by an uneven phased introduction of air conditioning, and soon.

PRESENCE OF ASBESTOS

Mr. **Fazio**. Why didn't they know there was asbestos present? It doesn't make sense that the Architect was unaware of the problem.

Mr. **Trew**. I think they knew it was there. They didn't know the extent. When they were looking in the mechanical rooms, for instance, they expected it. When they got around to doing some of the pipe chases, which are in long runs, they hadn't anticipated it would be quite so extensive there. They actually did a survey before they started the project.

Mr. **Fazio**. They request funding to perform surveys. Then, they find things that weren't detailed in the surveys. I am not getting too excited about it, but it happens all too frequently.

Mr. **Trew**. There are so many nooks and crannies in that building. It never ceases to amaze us. The Architect of the Capitol has done a good job. We worked closely with them. It is just magnificent what they have been able to do.

STATUS OF PHASE ONE PURCHASES

Mr. **Fazio**. I am sure we will be happy with it when it is completed. You are asking for $1,422,000 for furniture and equipment for Phase II construction space. Has all of the phase I furniture been purchased?

Mr. **Trew**. No. It has not been purchased. We have had close to $9 million appropriated to date. I would say we have obligated about a little better than half of that right now, but we are just letting another $2 million contract for furnishings, mostly for the Jefferson building, and the colonnaded areas.

We have all the carpeting now and are in the process of getting ready to go out with other contracts. The requests for this particular budget has to do with restoration of an amount that we took last year to buy some additional telecommunications cabling plus a little more for this special furniture for the colonnated area.

TELEPHONE EQUIPMENT

Mr. **Fazio**. On the telephone issue, there is $225,000 to purchase additional telephones. Apparently, a pictorial display capability is mentioned. Tell us about this.

Mr. **Becker**. That is so you can move data through the system by attaching a PC to a digital telephone. I don't remember in our requests that we specified pictures through the telephone?

Mr. **Fazio**. There might be additional capability that could be augmented as a result of having the digital type item?

Mr. **Becker**. Also, a number of instruments in our buildings won't work with the present distribution system, the new cabling going into Jefferson and Adams, for example, because they are old technology.

They need to be replaced just to continue service for example, multiple key sets.

Mr. **Fazio**. How is the new telephone system working, the new switching network?

Mr. **Becker**. We think it is working quite well because it allows us to be more responsive to the staff at the library, especially in the period when there are all these moves going on.

In the old days, you had to use C&P every time you made all these moves as are happening in the renovation. That is a very expensive proposition—to depend on their service staff. The new system has given us a great deal more flexibility.

We are still learning a number of things about how to most efficiently utilize the new switch; but on the whole, the service has been quite good.

Mr. **Fazio**. It is stated in the budget justification, under telephone equipment, over a five-year period most telephones will be converted to digital with greatly improved network of both voice and data including pictorial display communications service.

Ed doesn't drop a stitch; does he? He reads this material with a fine tooth comb.

Silence is golden. That capability may not have been something you were intending to implement, I guess?

Mr. Becker. The capability would be there because of the digital dimension. But that is still quite a ways off. I think we have a number of other priorities long before we get to pictorial display.

Mr. Fazio. I would think so.

Mr. Becker. That would not be the major reason for digital instrument installation.

Dr. Billington. The point of digitalization——

Mr. Fazio. You want to be prepared for it.

Dr. Billington. It allows that capability which you don't have otherwise. You don't then have to rewire and do these other kinds of things in order to get it.

Mr. Fazio. Actually, teleconferencing, which I mentioned earlier in regard to cooperation with other research institutions and others who are piloting with you on catalog data entry, might be useful. Who knows? You might want to convert a few of them.

You are pleased that the system is working? You are integrating with the rest of the legislative branch network?

Mr. Becker. Yes, of course. We have direct five-digit dialing now with the Senate and the House. And you do with us. This makes communication easier and somewhat less expensive.

AUDIX SYSTEM

Mr. Fazio. There is one thing that is somewhat troublesome. We have received a number of complaints that phones give recorded answers at the library during regular working hours. Are you prepared on that one?

Mr. Becker. Sure. It has happened to me.

Dr. Billington. We will turn on his automatic pilot.

Mr. Becker. One of the capabilities that has come with the switch is something called audix. It is automatic voice messaging. It is a tool. Like any tool, you can use it in different ways, more or less effectively.

The value of the tool is you can leave a message if nobody is there to answer the phone. We need to do more training of some of our staff on how most effectively to use it. Some of the people when you call them——

Mr. Fazio. Some staff are getting pretty good at it, obviously.

Mr. Becker. If you get the recording, you also can get instructions that hitting another number will allow you to talk to a live person if that is important to you at that point.

With the shortage of support people throughout the institution, this gives another way of getting your message across. It is a voice mail system.

Mr. **Fazio**. In other words, there are staff who think that they are providing better service by putting a message on when they have to be away from their desks?

Mr. **Becker**. Right. A lot of our staff, of course, do not do all their work throughout the library sitting in one place all day. We have them at different locations.

Mr. **Fazio**. There is concern about those lines that are frequently used by the public or by Members or congressional staff who call frequently. There is a point where your staffs should be urged to be live and on line; don't you think? So you don't give the impression that no one is home at the library?

Mr. **Tabb**. We agree with you.

Mr. **Fazio**. It is a personnel policy issue; isn't it?

Mr. **Tabb**. Yes.

Mr. **Fazio**. Certain phones are more sensitive than others.

I have some questions on furniture and furnishings which can be answered for the record.

[The quetions and responses follow:]

Furniture and Furnishings

Question. You are asking for $7,086,000 for furniture and furnishings. Of this amount, how much is for your regular furniture budget and how much is for the restoration and renovation project?

Response. $5,664,000 is for the regular budget and $1,422,000 is for the restoration and renovation project. Of the $1,422,000, $972,000 is for telecommunications cabling.

Telephone Equipment

Question. There is $225 thousand to purchase additional digital telephones. How many will this purchase? How many more need to be acquired?

Response. The Library is currently proceeding with a partial conversion from analog to digital telephones. The $225,000 requested in Fiscal '91 would purchase about 375 additional digital telephones depending on the mix of models obtained and includes the costs for digital line cards as well. Since it may not be necessary and/or desirable to convert the entire population of analog sets to digital ones, the Library does not precisely know how many more will be converted. However, the total phone population for the Library is approximately 6,000 of which 900 are already digital.

Question. There is $450 thousand to outfit the colonnades. Last year, we approved a change in the colonnade architecture, but specified there would be no additional funding beyond the $81 million already appropriated. Is any of this $450 thousand associated with that modification?

Response. None of the $450,000 requested to outfit the colonnades is associated with the proposed modifications. Specially designed wood systems furniture is required to outfit the colonnades as originally designed.

CHILD CARE FACILITY

Mr. **Fazio**. How are you doing on the child care facility? I know when I hear testimony from the employee representatives that the issue will come up. I thought perhaps you could give us an update on the status from your perspective. It has been a number of years in planning.

Dr. **Billington**. We have been very concerned about that also. It is an extremely high priority concern. We are hopeful that we may have found a solution.

One of the frustrating things was that any conceivable solutions to be found within the current Library buildings would have been many years off anyhow because of the complicated renovation/restoration.

We have been concentrating in addition to a long-term solution to a more immediate solution. We now feel we are on the trail of one that is both fairly immediate and a long-term solution in terms of this facility which we hope we might be able to acquire here not far from the Capitol.

Do you want me to talk about that in detail, Mr. Chairman?

Mr. **Fazio**. Why don't you?

Dr. **Billington**. This is the Saint Cecilia's School at 6th Street Southeast which the Archdiocese of Washington in its reduction of facilities was going to get rid of.

We have had a number of talks with them. We have inspected it. It would be ideal for day care center usage; it should be able to cover all of our staff needs at the Library, perhaps some additional for others on Capitol Hill as well.

We went through one earlier survey when we thought we had a nearby site and this would accommodate all the numbers that had signed up for that, although we may get more signing up.

In any event, we have a very real prospect for a nearby site which would be ideal because, of course, it was previously in use as a school; has the kinds of facilities we need.

Mr. **Fazio**. The water fountains are knee high?

Dr. **Billington**. It would also serve as a training center, as we see it, to provide facilities for our training budget and for human resources training which is an important aspect of staff developments really second only to day care in terms of our most urgent priorities. In addition to which it could provide some small residential space for some of the scholars who come and work here and can't afford to stay at commercial hotels.

Mr. **Fazio**. So, you think that is still compatible with the child care and employee development mix?

Dr. **Billington**. Yes, it's compatible. There was a separate residence for nuns. It is isolated from the playground for the kiddies.

I don't know that we want to consider the day care—the children in the school and the scholars the equivalent of those in the convent, but functionally, it works very well as a division of labor.

Moreover, the residence for scholars—there has been a crying need for this as well. These unique facilities that we keep talking about need to be used by people who increasingly cannot afford to stay in the hotels that are priced for people on expense accounts. By definition they will be working during the day when the day care center is going on and will need a residence at night, people coming in for conferences and so forth.

That is a very attractive and, I think, compatible kind of usage that also covers around the clock, gives dignified usage for the neighborhood.

Everyone seems very enthusiastic about it. We are hoping we can do this. As I say, it has an enormous advantage over every other plan we are considering. It is possible to do this quite rapidly. Some conversion would have to be done in the facility.

Jim Trew can talk to this in more detail, but I have taken a personal interest in it because I know this is a staff concern. I was particularly excited by this facility because I knew it offered an almost immediate response to the child care question to which we have not had a response.

TRAINING AND HUMAN DEVELOPMENT

It deals with another one of our concerns I am sure you will be hearing from the staff which is very much embedded in our budget here. That is, some kind of more realistic funds for training and human development of our staff. Our greatest resource along with our collections is the staff. Developing their potential which has not been developed to its fullest is a most important priority in this budget and would be additionally helped by this facility.

Mr. FAZIO. That about covers that issue unless you want to submit additional material for the record?

Dr. BILLINGTON. Jim?

Mr. TREW. I think Mr. White mentioned to you at his hearing that he had drafted up some proposed legislation which we are now reviewing. We propose to get it over to you to take a look at.

Mr. FAZIO. That's fine.

Dr. BILLINGTON. I think the facility in terms of the amount that the archdiocese is seeking, which we have had independently assessed, certainly represents an awfully good investment of what it would cost even if you were to recondition something else for a day care center. The quotations we got were very high. I think it would be very cost-effective, as well as rapid and gratifying to our staff, a way of dealing with what everyone recognizes is an important institutional problem.

Mr. FAZIO. That's fine.

It sounds like a happy coincidence. Maybe everything will come together and meet several needs.

FEDERAL RESEARCH DIVISION

I understand that the Defense Department has made clear that they are not going to renew the arrangement they had with the Federal Research Division. Could you give us some background on this?

Dr. BILLINGTON. Yes. The staff of the Federal Research Division now numbers 52 and has a budget of about $3 million. This sudden cut involves 31 staff members—they had to be given notice of a reduction in force.

Mr. FAZIO. How many?

Dr. BILLINGTON. Thirty-one. Thirty-one staff members because of the reduced funding largely in the Department of Defense.

Now, we have made strenuous efforts to redeploy these people. I don't have the exact figures. Someone can correct me if I am wrong.

I think for 16 we were able to find comparable work—comparably leveled work, and of the 15 others who had to take in most cases one-grade and in one or two cases a two-grade reduction in the level of work—not necessarily in the level of salary but the level of work they were doing, 13 of those 15 positions have the capacity to bring them back up to where they were before.

I think on the whole, this has been a pretty humane reassignment in a difficult time. This is a vulnerable part of the Library because it depends on, in effect, contract money from branches of the Executive Branch.

We have been trying to diversify FRD's portfolio; but it will always be, to some extent, in essence, kind of a soft money situation and a problem for the Library when these kinds of reductions occur.

Mr. **Fazio**. Is this the area where we should see some growth by virtue of your development efforts?

Dr. **Billington**. Well, I think so. We hope to introduce some legislation later on that will create the kind of revolving fund that will make it possible to do a fee service type of activity on a more systematic and controlled basis.

But we have had difficulties.

GIFT AND TRUST FUNDS

Mr. **Fazio**. Has there been a decrease in gift and trust funds? It looks like there has.

Dr. **Billington**. No. On the contrary, just recently, our development officer, Dr. Morse, is back there. There really has been a very dramatic increase in private fundraising.

I could just mention three very dramatic——

Mr. **Fazio**. The gift and trust funds seem to be down.

Dr. **Billington**. Gift and trust funds as an aggregation of our inherited gift and trust fund. Most of that is specified traditional gift and trust fund material, music concerts, things like that that have had long-established trust funds. I thought you were referring to private fundraising.

Mr. **Fazio**. I guess it wouldn't be reflected there, private fundraising appears somewhere else in the budget.

Dr. **Billington**. I am sorry, I don't know.

Ms. **Canter**. Are you looking through the revolving funds?

Mr. **Fazio**. How much increase has there been directly in gifts?

Mr. **Curran**. We will have to supply for the record a breakdown here. Some of the larger gifts would have occurred after September 30, 1989, and are not reflected in this estimate for fiscal years 1990 and 1991.

[The information follows:]

The gift fund receipts have increased from $2,023,000 in FY 1985 to $3,470,000 in FY 1989. The Library's estimates for the current year and the budget year in the Budget Appendix do not anticipate the receipt of any new gift funds. The estimates are based on gift funds which existed as of September 30, 1989. Some of these funds provide for funding over several years and, if the last year of funding for a particular fund was to be received in FY 1990, the FY 1991 estimates would show a resulting reduction when comparing FY 1990 and FY 1991 estimates.

Any new gifts, accepted by the Librarian on or after October 1, 1989, therefore, would not be reflected in the schedules contained in the Budget Appendix.

Dr. **Billington**. The three largest I can describe. There was a million dollar gift for, partly for American memory, but mostly to permit us to have an hour program on cable television, from Jones International, which will be the first time that libraries have had designated spots on the cable network America. The library is excited about that and it is a good form of national service.

A second gift is the million dollars for the Vatican exhibit from the chairman of the Madison Council.

A third gift was a million dollars from the Korean Cultural Fund to enhance our Korean collections. This is a very nice example, we think, of help from abroad.

The Madison Council just signed up to provide an annual amount too, which is in the order of half a million dollars now in terms of their subscriptions. Dr. Morse has done a great job——

Mr. **Morse**. Trust funds, funds for investment, show an income for previous gifts. That income tends to fluctuate with the investment rate. That has been fairly constant. Gifts, a separate category of money for immediate expenditure, have increased. They are more or less at the level of $2 to $4 million throughout the 1980s. This last year, the first year of the library's development effort, gifts went up to $3.7 million and this year already it is about $5 million just in the first quarter.

Mr. **Fazio**. These are earmarked for specific purposes?

Mr. **Morse**. Gift money is for expenditure only, not in the category of trust fund investment income.

Mr. **Fazio**. Are you trying to augment endowments, so to speak, at the same time you are going after these individuals?

Mr. **Morse**. Correct. A number of people gave gifts of several hundred thousand dollars, value in the past. We constantly receive new endowment income for similar purposes. This is growing, but not the way it did in the initial phase in the 1920s. Eventually, I think more people will become involved in the Library, and through wills and planned giving we will get large gifts. In terms of the special event, needs of the Library, we have received about $2 million a year for conferences and exhibits etc. in the past, this year we will be up to $6- or $7 million.

Mr. **Fazio**. How much are individual contributions versus corporate foundations?

Mr. **Morse**. Roughly, foundations are 20 percent, corporations are 40 percent, and individuals are 40 percent.

Mr. **Fazio**. Can contributions be donated through living trusts.

Mr. **Morse**. Planned giving, as they call it, is an area we must develop. Currently we are a new office of only three people. I think the National Gallery has 40 people doing development work. At some point, we will have to get a planned giving specialist on our staff.

Mr. **Fazio**. Hopefully these other entities will help you compete with them.

Mr. **Morse**. We are starting off carefully to make sure we do it properly and carefully. This is reflected in modest annual increases. Even though we have only been doing this for a year, still we have tripled annual gift giving to the Library.

DEFICIENCY SUPPLEMENTAL NECESSARY

Mr. **Fazio**. The conference report on our bill last year made it clear that we didn't want the Federal Research Division personnel reduction to take place unless a conference agreement was reached on the Defense Appropriations bill for fiscal year 1990. Partly, in light of the agreement, the Defense Department concluded that they wanted to proceed anyway, they were not satisfied to have the issue resolved in the conference.

The Library will incur an unreimbursed deficit of approximately a million dollars by the end of February for salaries, benefits, and other operating expenses, so you will be seeking deficiency appropriations; is that correct?

Dr. BILLINGTON. Yes, because we were under instructions from the committee to go ahead with this and were cut off at the knees by the Defense Department. We were kind of in a difficult position. We have made strenuous efforts——

Mr. FAZIO. You ought to be reimbursed by DOD.

Mr. BILLINGTON. We have made efforts in that regard. I had various forms of communication with the Secretary of Defense, but I did not get much of a response.

Mr. FAZIO. Did you try to go through Lynn Cheney?

Dr. BILLINGTON. We aren't allowed to deal with the National Endowment for the Humanities.

Mr. FAZIO. We will try to see whether we can get it from the right pocket, because I don't think it is fair to you or to us to have to come up with the money when we dealt with the issue in a manner sensitive to their needs.

Dr. BILLINGTON. This was a service I think was cost-effectively working for them.

ENCYCLOPEDIA OF CONGRESS

Mr. FAZIO. Mrs. Boggs, any further questions?

Mrs. BOGGS. Could you give me a status report on the Encyclopedia of Congress? What is the library's involvement now that the Bicentennial Commission has come up with some of the funds?

Dr. BILLINGTON. I think that is at the University of Texas. I don't think we have a direct relationship. I believe that has been fully transferred.

Mr. TABB. We can find out and get it for the record.

Mr. HEMPERLEY. $789,800.

Mr. BILLINGTON. We have transferred that and felt that the quality control was in good hands, so our function has more or less ceased, although we hope to stay in close touch with them. Perhaps when volumes come out we would expect to note it in some appropriate way in the library as it makes progress. I think as we do our follow-on projects for the bicentennary of the Congress we might do that.

We have just taken on an outstanding director of scholarly programs, so we will have somebody to full-time monitor and keep continued contact with projects of this sort. The Library is involved in a number of these.

It is important to have a continuing useful relationship with them so we have a point of contact for further linkage.

AFFIRMATIVE ACTION

Mrs. BOGGS. I know what a remarkable job that all of you have been doing, and that in your testimony you said that the 1991 budget includes a request of $3.2 million for affirmative action, staff development, and the recognition of outstanding staff members through monetary rewards. Would you please bring us up to date on the library's efforts to hire and promote qualified women and minorities in management positions; what kind of representation do women and minorities have in senior levels of the library management, and what about mid-level positions?

Dr. Billington. Well, I would be happy to give you a kind of full statistical breakdown for the record. Let me say that in this area we have reported out a new multiyear affirmative action plan which incorporates, I think, certainly the most sophisticated statistical analysis of this problem, as sophisticated statistical analysis as any institution has ever subjected itself to. We took the top people in CRS who do national statistical anaylsis and got them to apply it, and we now have a firm base on which to measure ourselves and our progress in the future.

In general, we have to negotiate this affirmative action plan with the unions. Once that is completed, it becomes the policy of the Library. It has already been signed off by me. It will I think give us one of the most ambitious affirmative action plans in the U.S. government, and one of the most statistically measurable, so that next year we will be able to answer your questions, I think, in a very precise and full way.

[The information follows:]

Last fall the Library completed a statistical analysis of its work force in order to develop its new Multi-Year Affirmative Action Plan. For mid-level positions (GS-13 through GS-15), we have 112 women and minorities who make up 36% of the total number of mid-level employees. For senior-level positions (GS-16 through GS-18 and including our Public Law positions), we have 21 women and minorities who make up 28% of the total number of senior level employees.

UPWARD MOBILITY PILOT PROGRAM

Dr. Billington. In addition to that you will remember that in this committee I proposed in the previous budget a breakthrough—one of the crucial areas here is the barrier question. We are aware that in the area where minorities are most blocked—upward mobility—and we have proposed a pilot program to break through dead end jobs involving six positions.

They were, I think, cut out at some point, I strongly appealed it, and four were reinstated in the eventual appropriation that we received. We have it back up to six again and we have just posted positions for this program. It will be the first of, we hope, several pilots to deal with getting minorities through that dead end barrier.

We also think that the general emphasis of course on training in this year's budget will have a disproportionately large effect on minorities because it is in those areas that upward mobility has been impeded very largely in the Library.

The general statistical problem is that the representation is much stronger at the middle levels and the lower levels than it is at the higher levels. We are making strenuous efforts to recruit, we are hiring a lot of new positions and we are anxious to get strong applicants. Our head of personnel and human resources, who is Hispanic. The Human Resources Director, is very committed to this and has developed a whole lot of techniques and methods of recruitment which we think are going to begin to yield results.

We have just hired an outstanding person, the Associate Dean of the Humanities at Howard University, and she is going to come and work to handle our new education office. We have a number of other positions I could go into, but I would say that there are a large number of positions open now because of our reorganization that have not yet been filled. We would hope to have strong applicants and we are making every effort to get those from various minority groups.

It is too early to predict what the final result of that will be but I can assure you that the affirmative action was the first priority of our Special Projects Office when we began the transition. It has taken awhile to get us this new strong multi-year affirmative action program.

We have posted a position in affirmative action, the director of that office, and we expect to have strong leadership for that office and a strong program in place. We are making some progress. We still have a good ways to go but it is solid progress because I think we really have a major program which is going to represent an important part of our appraisal of managers.

Part of the problem I think in the Library has been that we didn't have perhaps as exacting an evaluation of managers as we could have. We have that getting in place now along with affirmative action results as an important part of the criterion of evaluation of managers. We can give you a break down but I hope it will be the beginning of a number of years in which you will find that the figures are evermore attractive.

Mrs. BOGGS. That would be very helpful. Thank you very much.

Dr. BILLINGTON. Ms. Canter may want to add something.

NEW AFFIRMATIVE ACTION PLAN

Ms. CANTER. No. We are very excited about the new multi-year plan and hope the bargaining will go well with the unions. We are also excited about the new program which you graciously funded for us last year.

Mr. FAZIO. We are hoping that program will bear fruit and the sizable increases in staffing should we be able to fund it will give us an opportunity to show a return on that.

Ms. CANTER. An important aspect of this new plan is that affirmative action applies to all selections, not just to positions specifically funded for affirmative action.

Dr. BILLINGTON. I may say that one of the most important affirmative action things in terms of the advancement within the Library is taking people who have been with the Library for many years and are very talented, giving them new techniques, whether a language or electronic training. This staff development plan is heavily embedded in the budget.

We have a very low, virtually nonexistent training budget as we have documented for you, with the lowest levels of the Federal Government for some of the most highly technical jobs. The funds will go disproportionately I believe just by the sheer mechanics of where minorities tend to be predominantly—the sheer mechanics of determining who gets the training—to favor areas where minorities are predominant. Training will provide the only missing element in their qualification, which is very often a language or a technical element. They have the experience, they have the knowledge of the Library, they will have all kinds of talents, but often the people that are blocked from further advancement simply need a new set of qualifications.

I think this will be more effective than the kind of less well thought out but well meaning affirmative action things that we have had in the past such as giving somebody released time to do a year at a university which is fine and which we will continue to do but which does not directly tie into a job.

Mr. **Fazio**. Right, but can however create frustration.

Dr. **Billington**. The six that you have funded will feed people into better jobs. We hope that the enhanced training which this budget proposes will also directly feed people into better jobs and job advancement. As you can see, there is plenty to do. All of this arrearage is highly specialized and interesting work. Many times we have people who have dealt with these materials who just need one or two added technical qualifications to be able to do the work that needs to be done.

I see affirmative action as something which will give hope and upward mobility to some of our very capable people. But it is getting into that situation where it is not just an add on but a part of the Library's entire culture. I feel confident that we are going to be able to show you some affirmative results over the next few years in that regard.

Mrs. **Boggs**. Thank you, Mr. Chairman.

Mr. **Fazio**. I have one question about the administrative provisions which can be answered for the record.

[The question and response follow:]

Administrative Provision

Question. You outline a problem with the attendance at meetings limitation. We believe the problem can probably be handled by a redefinition of the "meeting" criteria. Clearly a university symposium is as much a meeting as one sponsored by the American Library Association. On the other hand, training costs, per se, should not be charged against this limitation, only the travel cost associated with getting to and from the "meeting", as opposed to business related travel. Please reevaluate your "attendance at meetings" budget needs, and advise the Committee.

Response. The Library is mindful of the Committee's concerns regarding unnecessary attendance at meetings and agrees that a redefinition of the meeting criteria could satisfy both of our objectives. However, the Library's actual travel costs were $1.1 million in FY 89. While this includes business and strictly training related travel as well as "attendance at meetings" travel, it is estimated that the Library's travel costs related to training would be significantly in excess of the current limitation (a breakdown of this information is not available). Therefore, we feel that travel costs should only be limited for membership meetings as currently defined by the Library. As an alternative, we recommend that the following phrase be added after meetings in the existing administrative provision", except for training costs as defined under 5 U.S.C. 4101 (4),". This change would continue to limit travel costs for "attendance at meetings" but enable the Library to better administer its staff development program. Again, the Library wants to assure the Committee that all requests for attendance at meetings, whether for business, training, or membership business purposes, will continue to be fully justified and monitored.

CHALLENGING BUDGET REQUEST

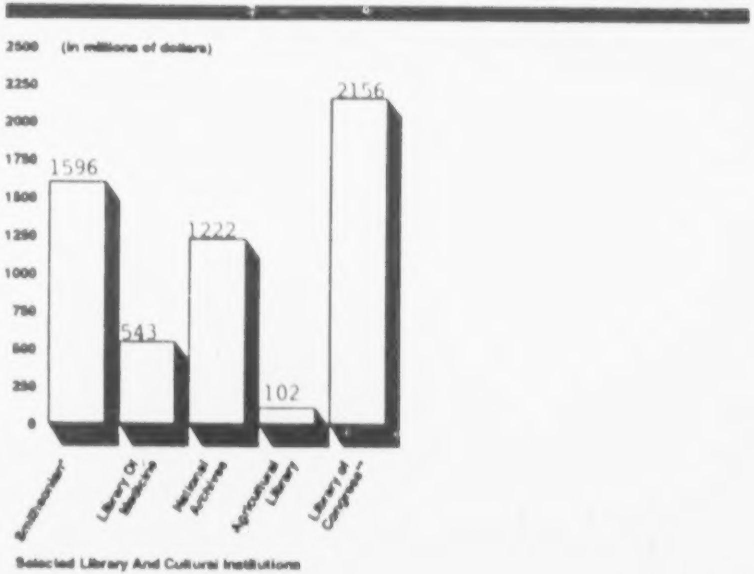
Mr. FAZIO. I will conclude by saying you have presented us with a very challenging budget request this year. I don't blame you. I understand the motivation. I previously stated how difficult our charge is in not only getting this bill enacted, but then avoiding sequestration on top of it.

The Appropriations Committee is very disadvantaged in terms of the sequestration situation that impacted us last year. The reductions may be unavoidable again this year. As always, we will do our best in funding the Library, but I want to go on the record by saying I don't feel a great deal of guilt about the appropriations that the Library receives. The Committee has been very generous to the Library.

Since I have been Chairman of the Subcommittee, the Library has received $2.2 billion over 9 years and the next largest equivalent amount of any similar institution is the Smithsonian Institution which has received $1.6 billion in the same time frame.

[The table follows:]

Library of Congress Cumulative 8 Year Budget Comparison FY 82 - FY 90



* Total Salaries and Expenses

** Total of Salaries and Expenses, Furniture and Furnishings, and Buildings and Grounds (AOC)

Source: FY 82 - FY 89 based on "actual" amounts from budget appendixes for FY 84 through FY 91. Fiscal Year 1990 based on "estimated" amounts from FY 91 Budget Appendix

Mr. **Fazio**. Obviously, that is apples and oranges. But, it shows that the Library has received an enormous amount. You have a high base and it needs to be higher and I appreciate that.

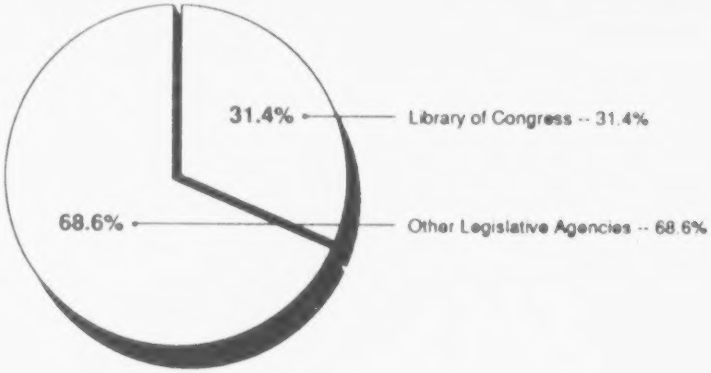
However, compared to other agencies within the Legislative Branch, we have increased the Library's share of total funding for the legislative agencies from 31.4% in fiscal year 1982 to 32.3% in fiscal year 1990. This, of course, caused the cumulative share of other legislative agencies to decrease from 68.8% to 67.7% over the same time period.

Further analysis of funding from 1982 to 1990 reveals that the overall percentage growth in Library funding increased 37.2% while the other legislative agencies realized only 33.7%. And since 1985, the Library has consistently received a higher percentage of requested funding than the other legislative agencies.

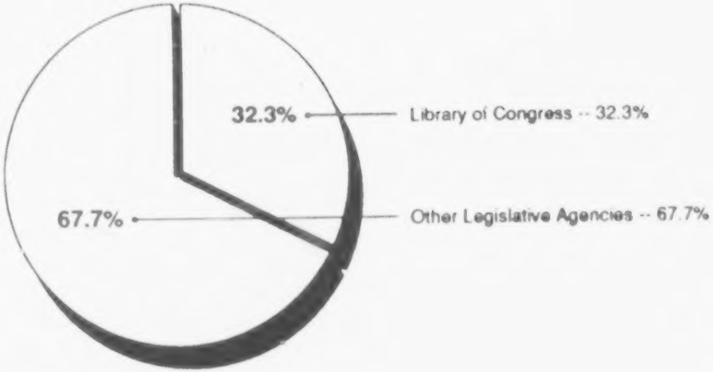
So, the Library of Congress has been treated fairly, perhaps generously, in the appropriations process. We have been extremely sensitive to the requirements of the Library, sometimes to the detriment of other legislative agencies that have equally important roles and missions.

[The tables follow:]

Library of Congress' Share of Appropriated Funding for Legislative Agencies

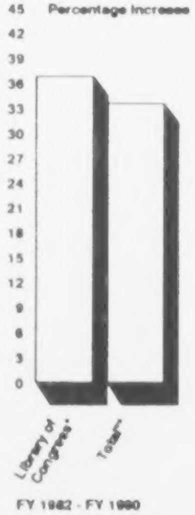


Fiscal Year 1982



Fiscal Year 1990

Percentage Growth in Funding FY 1982 - FY 1990

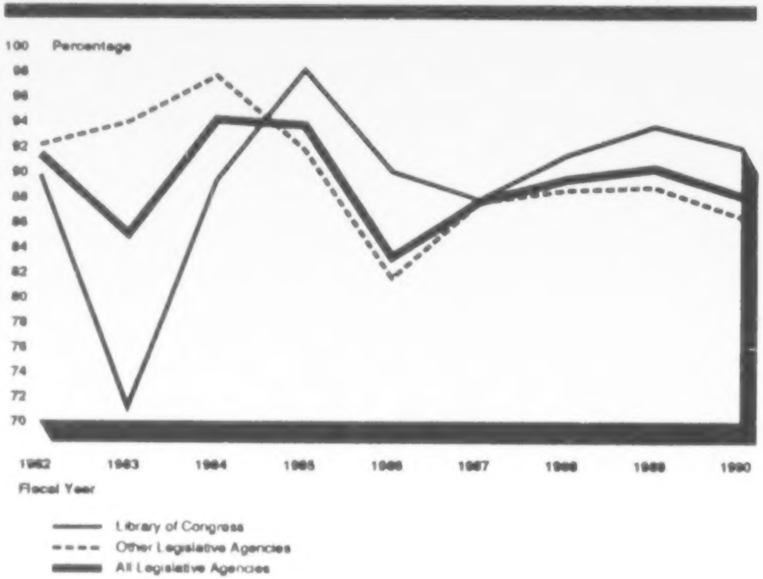


* Total of CRS, Salaries and Expenses, Copyright Office, Blind and Physically Handicapped, Furniture and Furnishings, and Buildings and Grounds (AOC)

** Includes appropriations and collections for all agencies in the Legislative Bill except House, Senate, and Joint items

Source: Appendix to President's Budget FY 1984 - FY 1991

Percentage of Requested Funding Which Was Funded FY 1982 - FY 1990



Source Appendix to the President's Budget FY 1984 - FY 1991

Mr. FAZIO. The Library has a major contribution to make today and an even greater one in the future and we will do the best we can for the Library given the availablity of resources. The increase requested for FY 1991 is about $52 million and that is just one year's request. We are very sensitive about this. It roughly equates to the funding for one year's franking under our current proposal. So if the House eliminated mail costs and relinquished the ability to respond to our constituents we would have your increase this year.

The bottom line is that the Legislative Branch is a highly publicized portion of the federal budget. However, it is a small drop in the bucket compared to the total amount funded. So, I hope you understand why we can't reach the goals that you have set for us. But we will do our best. Isn't that right, Mrs. Boggs?

Mrs. BOGGS. Absolutely.

Mr. FAZIO. Thank you very much for your testimony today.

THURSDAY, FEBRUARY 8, 1990.

JOINT ECONOMIC COMMITTEE

WITNESSES

HON. LEE HAMILTON, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF INDIANA AND CHAIRMAN, JOINT ECONOMIC COMMITTEE

JOSEPH MINARIK, EXECUTIVE DIRECTOR, JOINT ECONOMIC COMMITTEE

OPENING REMARKS

Mr. FAZIO. Let's begin our hearing on the Joint Economic Committee. We would like to welcome Congressman Lee Hamilton, our good friend and colleague from Indiana, the chairman of the Joint Economic Committee. If we are fortunate, we will be joined by the vice-chairman Senator Paul Sarbanes and the Ranking Minority Member Senator Roth. If not, we know we are in good hands with you, Mr. Hamilton.

We have a budget justification letter which has been printed in the record. The budget request is $3,675,000. After sequestration and the reduction for the drug wars is factored out, the current appropriation is $3,454,000. The requested increase for FY 1991 is about 6.4 percent or $221,000. The staffing level would remain at 51 positions.

At this point, Mr. Hamilton, knowing we have a former chairman of your committee, Congressman Dave Obey, among us, we will have your remarks placed in the record and let you highlight any significant items in this year's budget submission.

ROLE OF JOINT ECONOMIC COMMITTEE IN CONGRESS

Mr. HAMILTON. Thank you.

I will ask unanimous consent not only that my statement be included, but also the statements of Senator Sarbanes and Senator Roth.

Mr. FAZIO. I will be happy to do that.

Mr. HAMILTON. You have my statement in front of you, I am sure. I will not read it. I tried to summarize what we did during 1989 on the first and second pages, and beginning on the second page summarize what we plan to do in 1990.

Skipping over that, let me just make a few points very quickly.

First of all, I am impressed that the role of the Joint Economic Committee in this institution is a very special kind of a role. We often hear criticism of the Congress that we focus too much on the short term. I think most of us would acknowledge that that criticism is valid. There is something about the urgency ~~of~~ the legislative agenda for the regular authorization and appropriation committees that simply do not permit them to stand back and take a longer-term view of things. The Joint Economic Committee tries to do that. It has the luxury, frankly, of not having to produce legislation. Therefore, it can think and invite witnesses in who can think about some of the problems that confront us.

For example, in December with all of the talk about the peace dividend, we had hearings on the peace dividend. That is the kind of an issue that cuts across a number of different jurisdictions of committees in the Congress. Those hearings stirred a lot of debate in the country and in the Congress on the question of peace dividends. There are many other issues of that kind that I could mention.

What happens is that the Joint Economic Committee can stand back and take a look at these issues. The Committee can analyze the broad range of changes that are taking place in the American economy, in the world economy, and get out good information to Members of Congress as well as the country. It is a committee whose work is closely followed by the economic academic community.

BIPARTISAN APPROACH

The second thing I want to say about the committee is that we have worked to try to develop a bipartisan approach. We have not been 100 percent successful in that. I think that is understandable to everybody. These economic issues are often at the cutting edge of the partisan debate in this institution.

I really think it is unreasonable to expect to have complete bipartisanship in the Joint Economic Committee. In 1989, we did produce a major portion of our annual report that had the bipartisan support of all Members in the Senate and the House. I think that was a step forward.

COMMITTEE ACTIVITIES

In addition to that, we are publishing twice monthly a newsletter, a rather technical newsletter, some say maybe too technical, we are thinking about that, with respect to economic issues and indicators. It is written by the staff and it is done in a bipartisan way.

The next point I want to make about the committee is it has worked closely with the Budget Committee this year. We have provided some helpful guidance to that committee in their deliberations on the budget resolution explaining the sensitivity of the deficit to our economic performance. You heard a lot of things about savings generated from the Joint Economic hearings some months ago. We have cooperation with the work the Budget Committee does.

In 1990 we will be tackling a wide range of issues. I have listed them. I will not repeat them. The theme of what we will be looking at in 1990 will be economic growth, how do you get stronger, fair economic growth in the country.

The next point is that the JEC has been very active, 12 professional studies have come out in 1989, 52 hearings, 119 witnesses. I think some very good work has been produced.

One of the areas in which we would like to improve our performance is economic education. I mentioned that bipartisan newsletter a moment ago. We want to try to improve the quality of economic information that gets to Members of this institution.

Finally, let me just say that—well, a couple of other points, I guess. I think we have made a marked improvement in the staff of the Joint Economic Committee in the past few months. We brought on board four new PhD level analysts in economics. We have a very active program of economic studies lined up for them in 1990. My sense is in talking with Members in the economic community, academics and others, that they are pleased with the progress that has been made in improving the professional caliber work of the Joint Economic Committee.

We will be sponsoring a conference with Senator Roth on the topic of business planning time horizons. Senator Roth really deserves the credit for that. He is the one who has focused on that topic. I think he is onto something that is important for the committee and, of course, for the country. I am pleased to work with him on it. I might say that both Senators Roth and Sarbanes have been exceedingly cooperative and helpful throughout the year with the work of the committee.

FISCAL YEAR BUDGET REQUEST FOR 1991

So, we request, as you suggested in your opening statement, Mr. Chairman, an appropriation of $3.675 million. That is an increase of about 4½ percent over last year's appropriation. That appropriation was reduced, as you pointed out, by sequester and by the emergency drug funding provisions.

We are not requesting any increase in staff. The increases are sought to upgrade the staff with senior economists, to compensate for increases in the agency contributions, and to offset some of the increases we have in subscriptions, books and information services, a very important part of our budget because we have to keep current on economic data.

We have been very pleased with the support we have had from this committee and from you, Mr. Chairman, in the past. We hope that that will continue.

[The statements of Congressman Hamilton, Senator Sarbanes, and Senator Roth follow:]

STATEMENT OF
REPRESENTATIVE LEE H. HAMILTON
CHAIRMAN
JOINT ECONOMIC COMMITTEE
BEFORE THE
SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS
HOUSE APPROPRIATIONS COMMITTEE
FEBRUARY 8, 1990

Mr. Chairman, I am pleased to present to you the budget submission of the Joint Economic Committee for Fiscal Year 1991.

In summary, the JEC's activities for 1989 included:

- o A full calendar of 52 hearings, with 119 witnesses.
- o The first annual Joint Economic Report since 1980 with bipartisan agreement.
- o A major end-of-year Chairman's Report, to inform the economic policy and budget process beginning in 1990.
- o A volume of studies on the economies of Eastern Europe.
- o A major study of U.S. economic statistics, with emphasis on labor market indicators.
- o Staff studies on the measurement of poverty, and on capital gains taxation.
- o Widely recognized contributions, through testimony before the House Budget Committee on its "Members' Day" and

floor statements, to Congressional deliberations on budget policy and the budget process.

- Significant upgrading of the professional staff, adding four new Ph.D.-level economists and policy analysts (plus one more by early Spring), and two other highly qualified professionals. Streamlining and upgrading of the support staff.
- Initiation of a twice-monthly newsletter explaining economic issues and indicators for Members of Congress, and another updating JEC Members on Committee activities.

Planned Committee activities for 1990 include:

- An equally active program of hearings and Committee reports. The primary focus for these activities will be on improving U.S. economic performance -- including hearings on the quality and quantity of capital and labor; the development of cutting-edge technology; the place of the United States in an increasingly competitive world economy, with special attention to trade and international investment flows; and an examination of the economies and economic policies of China and Japan.
- A secondary series of hearings on the quality of U.S. economic statistics.
- An expanded program of staff studies, making use of the Committee's increased professional strength.
- Continued upgrading and strengthening of the professional staff.

- A conference, in cooperation with the Committee's Minority Members, on business planning time horizons in the United States.

Having chaired the JEC for the past Session of this Congress, I come to you convinced of both the difficulty of the economic issues facing this Nation, and of the importance of a strong Joint Economic Committee to address those issues.

In my appearance before this Subcommittee last year, I pointed out some of the Nation's most pressing economic issues, how they tend to reach out beyond the one-year budget-cycle focus that is forced upon most of our legislative Committees, and how they cut across the areas of jurisdiction that constrain those Committees. I also emphasized the JEC's traditional role as a non-legislative Committee to look to the long term, and to weave together the cross-cutting aspects of these issues.

One could not imagine a set of circumstances better to emphasize the importance of that role than those that surround our Nation's economy today. The opening of our economy to the rest of the world has been driven home by the parallel and even more dramatic opening of the Eastern bloc socialist economies. This development has confronted our Nation with opportunities and obligations. We can defuse the political and military tensions that have caused the world so much grief, and cost all Nations enormous treasure, over nearly half a century. But to do that, we must exert our now customary role of economic leadership despite a shortage of funds at the Federal level that has driven us to extraordinary legislated budget restraints.

This development illustrates the JEC's mission: to analyze broad-ranging changes in the Nation's economic environment. The Committee had already engaged the leading scholars on the East European economies to prepare a volume of area studies -- some on the problems of the bloc as a whole, some on the individual economies. That volume was released just in time to inform the discussion on the developments of the year -- why the pressures within the bloc were so great, what the needs of the economies were, and what the prospects for development and reform would be.

Then, the Committee held hearings with defense experts and macroeconomists on the prospects for, and the likely effects of, a significant reduction in U.S. military spending. These hearings made clear the difficulty of reducing defense expenditures in the short term, and the competing needs for those resources for both deficit reduction and domestic priorities.

The JEC's response to the thawing of the Cold War was not constrained by legislative deadlines, or by boundaries of legislative jurisdiction or academic discipline. This kind of contribution demonstrates the importance to the Congress of economic expertise aimed across the broad range of relevant issues.

Our efforts this year will shape our future program in several important ways. We have learned that our economic issues are of such a dimension that they will be intractable without bipartisan understanding and cooperation. We have also demonstrated that such bipartisan interaction is possible and fruitful. For the first time since 1980, the 1989 Joint Economic Report contained unanimous language regarding the state of the economy and the important issues ahead. This effort was widely recognized outside of the Congress as an indication of resolve to address our economic problems in an open and constructive manner. Our twice-monthly newsletter on economic issues and indicators is written by the staff in a bipartisan fashion. We hope to continue this effort toward cooperation within the Committee again this year.

We have also learned that the problems of our Nation's preparation for its future are complex and pressing, and have contributed in significant ways to the debate concerning the Federal budget deficit's drain on our savings. The Committee provided detailed testimony on the economics and the politics of the budget process to the House Budget Committee for its deliberations on the budget resolution. This testimony explained the sensitivity of the deficit to our economic performance, and provided guidance on the economic outlook based on the testimony we received from Administration and private-sector witnesses in our hearings. The testimony also showed how the budget has been caught in a loop of optimistic forecasts and "glide-by" policy choices, which result in little real deficit reduction. This testimony was further developed in the Humphrey-Hawkins debate on the Senate and House floors. The Committee's contribution on the budget issue has been recognized both inside and outside of the Congress.

Issues addressed in Committee hearings over the past year include:

- The determinants of U.S. economic growth: our deteriorating infrastructure; savings and investment incentives, and the role of the Social Security surplus in capital formation; technological advancement, and the impact of research consortia; and the contribution of our agricultural sector, including export incentive programs and changes in concentration of farm ownership;

- Changes in the U.S. income distribution and in the income growth of families;

- Problems in the health care system, both on a National basis and specific to rural areas;

- The workings of the economic policymaking process; and

- The international economy, including the problems of Third World debtor nations, and the process of opening the Japanese market.

The JEC has addressed these and other issues in an active program that involved 52 hearings with 119 witnesses. In addition to our volume of studies on the East European economies, the Committee also released a large-scale report on the Federal statistical base, with a special focus on labor market measures. At the end of the year, we released a Chairman's Report, which provided a broad view of the economic outlook and macroeconomic issues, and a summary of microeconomic policy actions taken by the Congress during the preceding year. We hope that this report, which was timed to inform rather than to follow the economic policymaking process that has just begun, will have an impact on our choices. Committee studies over the year addressed the issues of capital gains taxation and the measurement of poverty, and were well received by the economic policy community.

The Committee has emphasized communication with the Congress amidst its efforts on the issues. Our bipartisan newsletter communicates directly to Members on the paths of the most important economic indicators, and the choices that they impose upon us.

All of these activities were undertaken by a staff that has been significantly strengthened. The Committee has hired four new Ph.D.-level analysts in economics and public policy (one more is to join the staff in early Spring), with extensive university teaching experience, as well as other skilled professionals. Our staff members have published extensively in the economic policy field, and have numerous professional articles and six books to their credit, as well as valuable service in various agencies of Federal and state governments. Their combination of the scholarly achievement that would satisfy an academic institution, plus the public service experience needed to serve the Congress, is an indication of the quality of the work that we can expect in the coming years. The administrative staff has also been streamlined and strengthened over the past year, and provides our economists with prompt and efficient support.

For the coming year, the JEC will direct its energies toward the broad theme of improving U.S. economic performance. We will consider every aspect of this task, from increasing the amounts of productive capital available to U.S. workers, to improving the skills of those workers, to developing the highest levels of technology, to holding and improving our place in the economy of the world at large. We have targeted for special attention trade, the flows of financial and direct investment across national boundaries, and the economies and economic policies of China and Japan.

Hearings for the coming year will cover, among other topics: education and training; technology policy; saving, investment, the social security trust fund, and the budget deficit; the labor force and demographic change; and health insurance and preventive care. We will address the soundness of the Federal statistical base with a series of hearings. Our expanded and upgraded professional staff will also be preparing a broad range of studies of its own.

We also plan to hold a conference, in cooperation with our ranking Minority Member, Senator William V. Roth of Delaware, on the topic of business planning time horizons. This conference has been advanced through several hearings in the past year, in which we have had extensive participation from both sides of the aisle.

To support this program, the JEC seeks appropriations of $3.675 million, an increase of $157,000, or 4.5 percent, over last year's appropriation of $3.518 million (reduced to $3.454 million by a $49,000 sequester, and $15,000 emergency drug funding). The JEC requests no increase in staff positions. Increases are sought to continue to upgrade the staff with senior economists upon lower-level departures; to compensate for increases in agency contributions, which as you know are beyond the Committee's control; and to offset direct increases in costs for subscriptions, books, information services, and other materials, and to expand availability of such materials to the growing professional staff. Because the Joint Economic Committee will be chaired by a Member of the Senate during the next Congress, this is my best judgment of the resources that will be needed to carry on the work of the Committee in FY91.

Mr. Chairman, I believe that the Joint Economic Committee can continue to inform the Congress and the Nation on our pressing economic issues, and can contribute to the making of economic policy and ultimately to our prosperity and well being. I hope that you will look favorably on our request as appropriate to this mission.

STATEMENT OF
SENATOR PAUL SARBANES
VICE CHAIRMAN
JOINT ECONOMIC COMMITTEE
FEBRUARY 8, 1990

Mr. Chairman: I regret that a prior commitment keeps me from appearing today before the Subcommittee on Legislative Branch Appropriations, but as Vice Chairman of the Joint Economic Committee I want to endorse fully the Committee's appropriations request for Fiscal Year 1991 which Chairman Lee Hamilton has presented to you.

In my statement just one year ago in support of the Chairman's request, I referred to the fundamental and rapid transformation of the world economy, and the change in the role of the United States which that transformation has meant. The United States now occupies a position of enormous but no longer hegemonic power, and we have entered a period when the map of the international economy, drawn up in the aftermath of World War II, must be redrawn. As we enter the last decade of this century and look forward to the next, the new map must accurately reflect the emerging centers of economic power: Japan, Europe, the newly industrializing countries. It must also show accurately where economic growth has been stagnant or negative for much of this decade; these problems, if left unattended, will sap the economic vigor so evident in other areas.

The formidable challenge of redrawing the map of the world economy (and necessarily charting new paths for the United States) has been further complicated by the events of the past year in Eastern Europe. I think it is fair to say that when this Subcommittee met a year ago to hear the JEC's appropriations request none of us could have anticipated the revolution -- in the literal sense of the word -- which has since taken place in that part of the world.

Sweeping political changes have laid bare the immense economic problems bred by 40 years of narrow ideology, mismanagement and corruption. Fundamental economic reform is imperative, and in some countries is already underway. There is no textbook available to guide it, however, let alone assure its success; as was made clear at the recent annual meeting of the American Economic Association, "transition economics" is a new field in the history of the profession. But success -- or failure -- has important implications both for the future course of the world economy and the spread of democratic political institutions.

In my view, at no time since the Committee was established in 1946 has its role been more important than it is today. As you well know, the Joint Economic Committee has no legislative obligations. Indeed, its mandate is to look beyond today's legislative responsibilities and across jurisdictions to a broader, longer term perspective on the Nation's economy: to identify trends, define problems, develop policy options.

While not wishing in the least to exaggerate the parallels between 1946 and 1990, I would suggest that we may again be at a major crossroads with respect to the Nation's future. The Employment Act of 1946, which among other things created the JEC, reflected the Nation's determination to assure a vigorous domestic economy and rising standard of living in the context of a fundamentally changed and uncertain world economy. In 1990, although the conditions are different from what they were 44 years ago, we find ourselves at a similar juncture. The question is whether, in making policy decisions with long-term consequences, we will have the wisdom and foresight that marked the policymakers of the post-War period. The JEC is in a unique position to contribute to the discussion of continuing change in the national and international economy and to inform the policy debate which will take place in the years ahead.

Chairman Hamilton's statement summarizes in detail the Committee's full and varied activities over the first session of the 101st Congress, including areas of inquiry and changes in staff. Further, it outlines plans for the session just beginning, with work in the areas of education and training, labor force and health care, international trade and finance and other issues. This formidable agenda for the 101st Congress suggests the broad scope of the Committee's commitments and of the work it will be expected to undertake in the future. Accordingly, the JEC's appropriations request for Fiscal Year 1991 of $3.675 million -- a very modest increase over the current appropriation of $3.518 million (reduced by a $49,000 sequester and $15,000 for emergency drug funding) is more than justified.

Mr. Chairman, it is always a privilege and a pleasure to help to present the appropriations request of the Joint Economic Committee to this Subcommittee. I urge the Subcommittee to act favorably on the Committee's FY 1991 request.

JOINT ECONOMIC COMMITTEE
STATEMENT OF
SENATOR WILLIAM V. ROTH, JR.
BEFORE THE
SUBCOMMITTEE ON LEGISLATIVE BRANCH APPROPRIATIONS
HOUSE APPROPRIATIONS COMMITTEE
FEBRUARY 8, 1990

Mr. Chairman, I am pleased to present my strong support for Chairman Hamilton's fiscal year 1991 budget submission for the Joint Economic Committee. Chairman Hamilton and I both joined the Committee in the 94th Congress. It has been a privilege to work with him over the years, and a true pleasure to serve under his leadership this year.

This has been a rewarding year for the JEC. I understand that Lee is giving a fuller account of the Committee's activities. I would like to call to your attention one element of the chairman's leadership which has been notable to this member.

The Committee worked in a non-partisan fashion in 1989. This welcome operating technique extended to the annual report, to most Committee publications, to hearings and to administrative matters. While the two sides do not agree on all aspects of their economic philosophy, the Chairman's willingness to work together to identify common views as well as disagreements has led to a successful year for the Committee.

By looking beyond the day-to-day aspects of legislation to the longer term, the JEC continues to play a key role in the U.S. Congress. One of my particular interests is the effect of taxes on people's behavior, their decisions to work, save, consume and invest. The Committee heard testimony from a variety of witnesses on saving behavior. Savings policy, specifically approaches to reducing the multiple taxation of saving, will be an important issue before Congress in this and coming years. I am also looking forward to the Committee holding hearings on the economic side of the remarkable events taking place in eastern Europe. If those countries succeed in transforming into market economies, it will have truly monumental consequences on the world economy.

There is one particular Committee project on which I would like to comment. In the summer of 1989, the Chairman and I undertook a year-long project to examine corporate time horizons as they relate to American competitiveness. We're in the middle of a series of hearings on this subject, and we then plan to hold a conference, scheduled in May, to put together what we've learned.

The Joint Economic Committee is an important resource for Congress. I look forward to Chairman Hamilton's leadership over the next year, and support the fiscal year 1991 budget proposal.

COOPERATION WITH THE ADMINISTRATION

Mr. **Fazio**. Thank you, Lee. I know John Myers has to leave to go to another appropriations hearing.

Do you have any questions at this time, Mr. Myers?

Mr. **Myers**. Thank you, Mr. Chairman.

Mr. Hamilton, we are pleased to have you again. This has completed the first full year under the administration. Yesterday in the appropriations overview of the budget, the President's recommended budget, there was a long discussion about restoring the economy and getting the United States to be more competitive, particularly in the Eastern bloc.

What has been the spirit of cooperation between this administration and you folks working in parallel? It is obvious the administration can't do without us, and we know we can't do without the administration. We have to have that cooperation. Is there the cooperation you would like to see at this time?

Mr. **Hamilton**. I think it has been very good, John. The administration regularly sends up witnesses. I am leaving here, and we are going to have witnesses on this economic report that is in front of you now with Mr. Boskin. We have had very good cooperation from him throughout. We are working well together.

One of our common interests, which is a fairly technical matter, has been an ongoing concern of the Joint Economic Committee. That is the quality of economic statistics. In this debate in this town we throw these economic statistics around all over the place. We have learned that the quality of those statistics in all instances is not as good as they should be, and a very good investment for us to make is to improve the quality of those statistics.

We are working closely with Mr. Boskin on this. He agrees and so does the rest of the administration to improve the quality.

Mr. **Myers**. Statistics are very important. They have meaning always. It is like research unless we apply it. Now that the Eastern bloc seems to be opening up with a whole new market here, it can be our downfall—or if we are ready to meet it, we can move with them, or we can be left at the blocks.

Mr. **Hamilton**. That is absolutely correct. Junk in, junk out. If you don't get good statistics, then the policy that results will not be good. Our studies on the economies of Eastern Europe, I think were probably the best done in the country this past year. We will continue to focus on that. That is obviously a matter of enormous interest.

Our primary focus is the economy of the United States. You can't do that in this world unless you look at all other kinds of economies as well. Eastern Europe is part of that.

Mr. **Myers**. You feel statistics are being used to our advantage?

Mr. **Hamilton**. I think we have room to improve on the statistics, and we are going to continue to push for it. But, they are better.

Mr. **Myers**. Thank you.

THE WORLD ECONOMY

Mr. **Fazio**. Just following up on your conversation, Mr. Myers, how much effort do you put into understanding the Japanese economy, particularly the recent market reactions seen in Japan, the need for higher interest rates, drawing our interest rates higher here? Do you understand the mechanisms working today better than in the past?

Mr. **Hamilton**. I don't understand them all that well. What is clear to me is that we do not sufficiently appreciate the interconnections between our financial markets and the Japanese and other financial markets in Europe. Those interconnections are much more intimate and close than we think. This interest rate rise in Japan in December is indicative of it.

The JEC has focused in years past on the Soviet Union. That focus, I don't think, was misplaced. One of the things we are trying to do and began last year and will do more intensively this year, is to focus on the Japanese economy.

I was quite impressed in Greenspan's testimony the other day and I am sure we will hear the same thing from Boskin, how much those markets in Tokyo impact the New York markets. We have to understand that better. That is one of our major purposes for this year.

Mr. **Fazio**. Just the other day when preparing a major Treasury bill sale, there was great fear that the Japanese weren't going to be in to the degree they have been. There were concerns about the concomitant impact resulting from lessened demand in terms of what we have to offer and long-term debt implications.

Mr. **Hamilton**. Historically our Fed has operated with a focus on domestic markets. Now that is shifting. The Fed does not have the kind of independence it once had. It obviously has to pay attention to the domestic situation. It cannot set policy in isolation. It has to see what is happening in the world because of the fact we depend so much on the Japanese buying our debt.

Mr. **Fazio**. I am pleased to see the committee focusing on the broader international economic sphere. It used to be if we sneezed, somebody else got the flu. I have a funny feeling now that we better get our flu shots.

Mr. Obey, do you want to ask questions?

COMMITTEE ACTIVITIES

Mr. **Obey**. I would simply like to say, Mr. Hamilton, that I think that the hearings the committee conducted last year were about as comprehensive as they have conducted in the years I have been on the committee. I congratulate you for that.

Secondly——

Mr. **Hamilton**. If I may interrupt, I think the turnaround on the Joint Economic Committee began under Chairman Obey's leadership. I have just continued it on.

Mr. **Obey**. I think someone would question that.

Mr. **Myers**. Whether he is continuing on?

Mr. **Obey**. Quite the contrary—I would simply note again, as I have in past hearings, this committee went 10 years without asking for a single increase in staff size. I dare anyone on Capitol Hill to point to another committee that has done that. I think the committee has been restrained in its request. In fact, I think they have often been too restrained. As you point out, your efforts now are to professionally upgrade the staff, to bring on people with credentials as strong as possible. I think that is important.

Mr. **Hamilton**. Thank you.

Mr. **Fazio**. Mrs. Boggs, do you have any questions?

FOCUS ON EUROPE 1992

Mrs. **Boggs**. Thank you, Mr. Chairman.

Mr. Hamilton, so nice to have you with us. In your global overview that would be a new focus, are you going to concentrate on Western Europe in 1992 and the probability of Eastern Europe coming into that same market and how we are going to respond to it?

Mr. **Hamilton**. In 1989 there had been enormous interest in 1992 in Europe. I appeared on countless panels and discussions with regard to 1992. That certainly is going to continue into 1990, without any doubt.

The big question, of course, is how you move from the command-structured economies of Eastern Europe today to the market-oriented. Although we have enormous expertise in this country on how to run free markets, what we don't have expertise in is how you create free markets. We have always had them.

That problem of changing from command to free market economies is enormously complex. Even our academics are just beginning to wrestle with it; the policymakers are really struggling with it. You are quite right to put a lot of emphasis on that, and we will try to do it. We have the time, I think, that other committees perhaps do not have to begin to probe.

Mrs. **Boggs**. Thank you, Mr. Chairman.

Mr. **Fazio**. Thank you, Mrs. Boggs.

I have a number of questions I will place in the record.

[The questions and responses follow:]

Increases for Fiscal Year 1991

Question. Essentially, the increases are for personnel: $135 thousand for compensation and $81 thousand for benefits. How much of that $135 thousand is for the cost-of-living adjustments?

Response. We have budgeted $45 thousand for the cost-of-living adjustments.

Question. Are there funds in here for next year's COLA—the October 1990 (or January 1991 if it is slipped) COLA? How much?

Response. The $45 thousand referenced above is for next year's COLA.

Question. Explain the balance of the $135 thousand.

Response. The balance of the $135 thousand ($90 thousand) is allocated for merit increases, upgrading of current staff upon expected departures, and hiring of additional staff.

Question. For the record, provide an analysis of the $81 thousand benefits increase.

Response. The $81 thousand is computed to bring our agency contributions allotment to 22 percent of salaries. For the current fiscal year, agency contributions are projected to be 20 percent of salaries.

JEC Staff

Question. The staff level remains at 51. Last year you only had 45 positions filled. How many are currently occupied?

Response. There are 44 positions currently occupied; one more professional staff member will come on board in the first week of April, and we are interviewing for additional professional positions at this time.

Question. For the current vacancies, how much was allocated in the current 1990 budget; how much are these vacancies allocated in the '91 budget?

Response. Of the increase in the personnel budget for 1990, $95 thousand was allocated to merit increases, upgrading of staff upon departures, and staff vacancies. Over the past year, the Committee has reduced its clerical staff by three and its research assistant staff by two, while increasing its professional staff by four (plus one more to join the staff in April). Those funds were used to cover the increases in salaries for the professional replacements for the clerical and research assistant staff, as well as for hiring one senior professional staff member to replace a departing junior professional staff member. For 1991, $90 thousand is allocated for merit increases, upgrading of current staff upon expected departures, and hiring of additional staff.

PRODUCTS OF THE JEC

Question. For the record, update the list of studies, hearings, and reports released by the Joint Economic Committee last year (ref. P. 178 of FY 1990, Part 2.) Provide a list of those projected for the current year and the budget year.

Response. The updated list of studies, hearings, and reports released by the Joint Economic Committee last year follow. Also attached is a list of projected studies, hearings, and reports for the current year. Because there will be a new Chairman of the Committee (from the Senate) for the last nine months of the budget year, it is impossible for us to project Committee activities at that time.

1989 Joint Economic Committee Heaings

Full Committee

January 6	December Employment Situation
January 18	Economic Report of the President
January 31	Economic Report of the President
February 2	Economic Report of the President
February 3	January Employment Situation
February 9	Economic Report of the President
February 22	Economic Report of the President
February 23	Economic Report of the President
March 10	February Employment Situation
April 7	March Employment Situation
April 12	Roundtable Discussion with U.S. Winners of the Nobel Prize in Economics: Lawrence R. Klein
April 18	Inflation
April 24	The Changing Structure of American Agriculture
April 26	Europe 1992: Long-term Implications for the U.S. Economy
May 5	April Employment Situation
May 11	Income Distribution
May 18	The Effects of the Third World Debt Crisis on U.S. Agriculture
May 25	The Underclass
June 2	May Employment Situation
June 8	High Technology Consortia: The Federal Role
June 15	Social Security Trust Fund Surplus
June 21	Savings and Investment
July 6	Paris Economic Summit
July 7	June Employment Situation
July 19	Paris Economic Summit
July 19	Investment in Human and Physical Infrastructure
July 20	The Economic Outlook at Midyear
July 27	The Economic Outlook at Midyear
August 1	The Economic Outlook at Midyear
August 4	August Employment Situation
September 7	Agricultural Reform in the Soviet Union and China
September 12	U.S. Economic Policymaking
September 27	International Adjustment Process

October 6	September Employment Situation
October 11	The Japanese Market: How Open Is It?
October 19	Deregulation: Perspectives of Economists and Regulators
October 31	Crisis in the Workplace: The Mismatch of Jobs and Skills
November 3	October Employment Situation
November 8	Corporate Time Horizons
November 9	American Economic Power
November 14	Corporate Time Horizons
November 15	American Economic Power
November 16	American Economic Power
December 12	Economic Adjustment After the Cold War
December 13	Better Health Care for Rural America
December 19	Economic Adjustment After the Cold War

Subcommittee on Education and Health

* May 1	The Economic and Social Benefits of Early Childhood Education

Subcommittee on Technology and National Security

April 14	Allocation of Resources in the Soviet Union and China
June 13	Sustainable Development and Economic Growth in the Third World
June 15	Sustainable Development and Economic Growth in the Third World
June 20	Sustainable Development and Economic Growth in the Third World
July 7	Allocation of Resources in the Soviet Union and China

* May 1 Field hearing held in New York, New York.

Joint Economic Committee Publications
101 Congress– 1st Session

The 1989 Joint Economic Report. Report of the Joint Economic Committee on the 1988 Economic Report of the President. April 18, 1989.

The Soviet Economy in 1988: Gorbachev Changes Course. A report by the Central Intelligence Agency and the Defense Intelligence Agency presented to the Subcommittee on Technology and National Security. April 22, 1989.

Foreign Technologies: Federal Agencies Efforts to Track Developments. A report prepared by the Government Accounting Office at the request of the Subcommittee on Technology and National Security. July 24, 1989.

The Chinese Economy in 1988 and 1989: Reforms on Hold, Economic Problems Mount. A report by the Central Intelligence Agency presented to the Subcommittee on Technology and National Security. August 8, 1989.

Towards Rural Development Policy in the 1990's: Enhancing Income and Employment Opportunities. A symposium sponsored by the Congressional Research Service at the request of the Joint Economic Committee.
September 14, 1989.

An Analysis of the Economic Growth Effects of Capital Gains and IRA Tax Proposals. A staff analysis prepared for the use of Joint Economic Committee. September 27, 1989.

Medical Alert. A staff report prepared by the Subcommittee on Education and Health summarizing the hearings on "The Future of Health Care in America." October 2, 1989.

Alternative Measures of Poverty. A staff study prepared for the use of the Joint Economic Committee. October 18, 1989.

Pressures for Reform in the East European Economies. Volume 1.
Study papers submitted to the Joint Economic Committee. November 8, 1989.

Pressures for Reform in the East European Economies. Volume 2.
Study papers submitted to the Joint Economic Committee. November 8, 1989.

Workforce Statistics: Do We Know What We Think We Know-- And What Should We Know? A paper prepared by the Center for Social Policy Studies of the George Washington University. December 26, 1989.

The Chairman's Report. A report by the Chairman of the Joint Economic Committee. December 28, 1989.

JOINT ECONOMIC COMMITTEE

TENTATIVE HEARINGS SCHEDULE, 1990

February

February 26:	*Head Start Reauthorization*
February 26-March 2:	*Sub-Saharan Agriculture*

March

March 9:	*Employment Situation*
March 12-16:	*Economic Conversion*
March 19-23:	*Economic Statistics*
March 26-30:	*economic statistics*

April

April 2-6:	*Employment Situation* *The Economic Situation of Black Americans*
April 9-13:	*Measurement of Poverty*
April 16-20:	*Health Care and U.S. Competitiveness -- Costs and Worker Productivity*
April 23-27:	*Utilizing the Talents of Blue-Collar Workers*
April 30-May 4:	*Employment Situation* *Why is U.S. Civilian R&D So Low?*

May

May 7-11:	*Economic Policy in a Weak Economy*
May 14-18:	*Market-Oriented Environment Policies*
May 21-25:	*Currency Market Intervention*
May 28-June 1:	*Employment Situation* *The European Monetary System*

June

June 4-8:	*Japan*
June 11-15:	*Eastern Europe: Government Aid and Private Investment*
June 18-22:	*Europe as an Economic Superpower*
June 25-29:	*Super 301/SII Evaluated*

July

July 2-6: Employment Situation
G-7 Summit Warmup Hearing
July 9-13: *A Strategic Approach to Setting Technological Standards*
July 16-20: *Is Inflation Harming U.S. Economic Performance?*
July 23-27: *U.S. Exports and the Value of the Dollar*
July 30-August 3: *Employment Situation*
Education, U.S. Economic Performance, and the Federal Role

August

August 6-10: *Foreign Direct Investment*
August 13-17: *Providing Health Care: International Comparisons*
August 20-24: *Rural Communities Ability to Comply with Federal Standards*
August 27-31: *Housing: Prices, Needs, and the Long-Term Market*

September

September 3-7: *Employment Situation*
September 10-14: *Manufacturing Extension Services in Japan: A Model for the United States?*
September 17-21: *Infrastructure and U.S. Economic Performance*
September 24-28:

October

October 1-5: *Employment Situation*
{October 8-12: *Rountable Discussions with Nobel Prize Winners in Economics:*
{October 15-19: *James Tobin, Robert Solow, James Buchanan,*
{October 22-26: *Paul Samuelson, and Milton Friedman*
October 29-November 2: *Employment Situation*

JOINT ECONOMIC COMMITTEE

PROJECTED STUDIES, 1990

Central Bank Accountability in OECD Countries

Infrastructure and Productivity

Economics of the Food and Fiber Industry

Eastern Europe: Government Aid and Private Investment

Economic Adjustment After the Cold War

The Distribution of Wages

The Uses of the GNP

Alternative Measures of Budget Deficits and Fiscal Policy

Increasing Revenues in Principle and Practice

Europe as an Economic Superpower

Privatizing Social Security?

"Tax" Treatment of Social Security Beneficiaries

Foreign Direct Investment

The Distribution of Wages

A Strategic Approach to Setting Technological Standards

Profile of the Poverty Population

Low-Income Workers

Credible Budgeting

COMMITTEE STAFF

Mr. **Fazio**. In terms of the ability to attract and retain economists, we have heard from the Joint Committee on Taxation and others that this is a very difficult task. More and more academic institutions and non-profit entities are paying higher salaries, and we are seeing a great deal of turnover and we are having a hard time retaining younger people who normally would pursue a federal career or at least a significant period of their career with the government.

Are we able to compete in the market for analysts or economists? I am thinking in terms of professionals other than attorneys whose talents are in greater demand these days than they have been in the past.

Mr. **Hamilton**. I don't think we are competitive for top-flight people. Dr. Minarik is a good example. He is a beautifully trained economist, first rate economic mind. We were able to get him because he is willing to work for a couple of years on Capitol Hill. He will probably go on. Retaining these kinds of people is very, very difficult. I don't think we are competitive.

What we have to do is get people for short periods of time. There are some advantages to that, but there are a lot of disadvantages, as you know, too. I think there is a rather desperate need to increase staff salaries here to retain first rate people.

Mr. **Fazio**. We certainly hope that you factored into the budget the potential increases that could occur in the next Congress given the latitude the leadership will give us to increase the authorized pay levels. Whether or not we have the money to fund the raises is another question.

Mr. **Hamilton**. Well, the recognition of the problem is a first step. I am very pleased to note your question.

Mr. **Fazio**. It has been particularly obvious in the last couple of years that we simply aren't getting the qualified people that we need and we are not retaining the exceptional ones. We must begin to lay out a plan to confront this problem. The years of steady state funding have taken their tolls.

Mr. **Hamilton**. If I may point out, on retaining and keeping top-flight economists: A good economist today at one of our first-rate universities can double, triple, quadruple his salary at that university through consulting, et cetera. Good economists are badly needed people. You are not just competing against the salary at the university level. You are competing against what they can earn when they are at that university.

As you all know, economic consultants are among the most sought after people in the private sector.

Mr. **Fazio**. CBO tells us the same thing. They have had a very difficult time asking highly qualified people to do difficult but sometimes routine work, too.

The other issue I want to get into relates to your dispersion around Capitol Hill. I understand you are at five locations.

COMMITTEE OFFICE SPACE

Mr. **Hamilton**. Yes, we are at five locations. This is probably our number one problem perhaps other than staff. That is, how to keep our work coordinated with so many locations around. Because we are a joint committee and because the House is so far from the Senate and the Senate so far from the House—I am speaking geographically now, not politically.

Mr. FAZIO. I am pleased.

Mr. HAMILTON. It is hard when you have a hearing in the House to get Senators to come over. And vice-versa. I think twice if I have to go to a hearing on the Senate side. Time is too important for us. What we desperately need, Mr. Chairman, is a hearing room in the Capitol as well as staff located somewhere that is convenient for us either on the Senate or the House side. It is a tremendous problem for us.

Mr. FAZIO. Obtaining space in the Capitol, of course, is above my pay grade. The Speaker is about the only one who can handle that.

I think we could offer suggestions about consolidating the staff. The new Judiciary Office Building which George White is involved in might be a potential site. The Post Office Building is going through some changes that will make additional space available, too.

I would think it would be very inefficient for the staff director to have a staff spread over five different locations. We will do everything we can to help some of these ideas work. I realize that some locations are further from the Members and it is difficult to get Members to stay in touch with the staff. I would hope we could help in this regard.

Mr. HAMILTON. We would appreciate your support and cooperation and leadership.

NETWORKED COMPUTERS

Mr. FAZIO. We will do what we can.

In regard to your networked computer. Consolidation into two areas seems feasible. Any more than that, it gets expensive and difficult.

Mr. MINARIK. We are handling that fairly efficiently. As a matter of fact, if we talk about staff, we have downsized our administrative size over the last year by three. We have also reduced our research assistants by two and replaced them with professional economists. The network is working fairly well. We are learning to deal with it better. It has been in place for two years. It has been a help.

On one point that you did raise, I would want to point out that if I were ten minutes farther away from my chairman, that would cause some trouble. I am all in favor of consolidation, but I want to be able to deal with the Members, too. When you do get out of touch, you are of much less use to them.

Mr. FAZIO. Of course, with this networked computer system, be it a more remote location, you will have on-line communication.

Mr. MINARIK. In terms of flow of paper, yes. We don't send paper over by messenger any more. It is always done electronically. It is the next best thing to being there, and sometimes being there is essential.

Mr. FAZIO. Sure. That puts a premium not just on a hearing room, but also on staff space?

Mr. MINARIK. Yes.

Mr. FAZIO. I am afraid we have very few new opportunities for expansion, although there is a proposal to fill in the courtyards at the Cannon and Longworth buildings. The grassy areas inside the West Front are being considered. I am not sure who is in line for the space. I would urge you to speak to the Speaker and to have Senator Sarbanes and Senator Roth speak to the leadership on the Senate side. We may well find we can get you in line for some of that very valuable space when it opens up.

Now is the time because I don't believe it has been allocated. Ed Lombard says that space is being looked at just like the peace dividend. Now people figure out they have a chance to accumulate something. It may not come to anything.

We thank you for the good job you do, and for your testimony. We look forward to working with you.

THURSDAY, FEBRUARY 8, 1990.

PUBLIC WITNESSES

CONSTITUTIONAL PROCESS AND POLICY

WITNESSES

WILLIAM J. BYRON, S.J., PRESIDENT, CATHOLIC UNIVERSITY

PAUL VERKUIL, PRESIDENT, THE COLLEGE OF WILLIAM AND MARY

Mr. FAZIO. We have an unprecedented number of public witnesses today. Those of you who have seats should feel fortunate. The shortage of space presents a problem.

We have a limited amount of time. I would like to, therefore, ask the long list of witnesses to confine their remarks to five minutes. That will allow time for Members to ask questions. Our questions are useful in focusing in on the essentials points of your testimony. We will place all the prepared statements in the record so that the complete remarks of all witnesses will appear in print. They will, of course, be reviewed by the Members of the committee.

CONGRESSIONAL POLICY AND PROCESS

I would like to begin the first series of public witnesses by reading from the House report of our bill for FY 1990. It states:

> The committee is concerned about a number of issues the Congress must address involving constitutional process and policy. Issues of this type include impeachment, the budget process, the advise and consent roll, constitutional amendment procedures, war powers, and the legislative veto. Because of this concern, the Committee believes there is a need to have a central point of analysis and review of matters affecting Congress and the constitutional process. During FY 1990 the Committee will review this need and consider approaches to providing the necessary independent analysis to the Congress.

INTRODUCTION OF WITNESSES

In that regard, we are very pleased today to have represented two universities of renown from this region. From the Washington area, the Catholic University of America, and from Southeastern Virginia, the College of William and Mary. Father William Byron, president of the Catholic University, and Paul Verkuil, president of the College of William and Mary are with us. We are glad to have you both here. Monsignor William A. Kerr is here as well. The monsignor is vice president for university relations at Catholic University.

We appreciate your interest in the Congress and in the problems we face. I would at this time like to ask Father Byron to begin and present to us your concept of how your institution may assist us in these issues.

STATEMENT BY FATHER BYRON

Father BYRON. Thank you, Mr. Chairman. It is a pleasure to appear before you. I will follow your suggestion to abbreviate the testimony. As a matter of fact, you already quoted my first paragraph, which was from the committee report last year.

We proposed at the Catholic University of America to establish a center in the law school that will be called the Center for Congress and the Constitutional Process. The business of the center would be ongoing review and analysis of the constitutional processes, the prerogatives and the powers of Congress in its relationship with the other branches.

In other words, we are focusing on the separation of powers. The focus, however, within that target will be on the Congress both in its day-to-day endeavors and its extraordinary responsibilities relative to the crises that test the constitutional foundations. We see them in impeachment procedures, we see the budget processes, the advice and consent responsibilities, intelligence, foreign policy.

The previous occupant of this chair was involved in the same sort of thing in quite recent history. The center envisions itself as a resource for Members of Congress and their staffs. It doesn't intend to duplicate the work of the Congressional Research Service. Rather, we are going to undertake long-term academic research into the historical, political and legal dimensions of interbranch relations. We are going to offer the benefits of that research by way of instruction in law school classrooms of our own and make it available for instruction around the country.

We propose to run seminars to bring together scholars and, of course, Members of Congress and their staffs together with media people for discussions on interbranch relations. The output of all of this would be in the usual form of books, Law Review articles, published material available to all.

It seems proper that this, as you characterize it, the central point of analysis and review, from your report language, that it should be located in the seat of national government here in Washington. We are two Metro stops away, the Columbus School of Law. It is in a position to observe the working of the three branches of government and observe the day-to-day operations of constitutional functions. Our School of Law has a good relationship with other research institutions.

The constitutional separation of powers leads to struggles, as you well know, between and among the branches. The lines are drawn in constitutional language, but it is in the lives of individuals that those relationships are worked out. We intend to examine not only those in the abstract, but in the context of day-to-day issues and the persons involved in those issues.

I guess it was the first bill confronting the Second Session of the 101st Congress, dealt with the issues of the Chinese students. This morning's Washington Post has the story of executive privilege on making information available in the Poindexter trial. These things are cropping up all the time.

The Center, as we propose to call it, for Congress and the Constitutional Process, proposes to study all these struggles, as I said, in their historical, political, and legal dimensions so as to suggest ways and means for cooperation among the branches for the benefit of the American people. It is going to be academic and action oriented.

To accomplish the goals set forth for this center the Catholic University of America intends to set aside space in its new $30 million, 165,000 square foot facility designed as the new home for our Columbus School of Law. The space is going to include offices for visiting and resident scholars who will be working on these issues I described. They will include meeting rooms for seminars, archival space for the living history that we would like to develop on the separation of power struggles and, of course, a reference library focusing on interbranch relations.

We will raise $25 million for the new complex from private sources. We request $5 million in Federal Government cost sharing for this project. The operating costs will be supported by general university funds as well as by gifts from corporations, foundations and private donors.

Mr. Chairman, I would like to submit for the record the detailed full testimony. I thank you again for the opportunity to testify. I would be available for questions.

[The statement of Father Byron follows:]

Testimony of
William J. Byron, S.J., President
The Catholic University of America
Before
House Appropriations Subcommittee on Legislative
H-301, The Capitol
February 8, 1990
9:45 a.m.

Thank you, Mr. Chairman, and members of the Committee for this opportunity to appear on behalf of The Catholic University of America.

In July 1989, the House Committee on Appropriations in its report on Legislative Branch Appropriations stated: "...The Committee believes there is a need to have a central point of analysis and review of matters affecting Congress and the constitutional process. During FY 1990 the Committee will review this need and consider approaches to providing the necessary independent analysis to the Congress."

The Catholic University of America proposes to establish a national center within the University's Columbus School of Law to be called the "Center for Congress and the Constitutional Process." Planning for the Center began in 1988.

The Center will address the need for an ongoing review and analysis of the constitutional processes, prerogatives, and powers of Congress in its relations with other branches.

The Center for Congress and the Constitutional Process at CUA will concentrate on the interaction among the three branches of government, but will focus on the Congress, both in its day to day endeavors and in its extraordinary crises that test the nation's constitutional foundations -- impeachment procedures, budget processes, advise and consent responsibilities, intelligence and foreign policy issues, amendment recommendations, war powers concerns, and legislative vetos.

The Center envisions itself as a resource for members of Congress and their staffs. Expert witnesses will be available for testimony. Consultation with Center scholars by Congressional offices will be expected. And issues facing Congress in upcoming sessions will be addressed by studies commissioned by the Center.

Special briefing sessions will be available each session to member of Congress, and their staffs, as well as to members of the executive and judicial branches, relating to emerging issues likely to have separation of powers implications.

The Center will not duplicate the fine work of Congressional Research Service. Rather, it will undertake long term, academic research into the historical, political, and legal dimensions of interbranch relations and provide a core group of recognized Constitutional scholars available to examine and respond to issues of separation of powers.

It will offer the benefits of its research to students within the Columbus School of Law, many of whom work in Congressional offices, as well as to undergraduate and graduate students in other disciplines, and, by reason of the Washington Consortium of Universities, to students in other institutions.

It will bring together scholars, members of the media and practitioners working within government for seminars, lectures and discussions of interbranch relations.

It will make its research available to an even wider audience in the form of published papers and reports relating to separation of powers issues.

And, should opportunities present themselves, it will stand ready to work with the emerging constitutional democracies of central and eastern Europe as the citizens of those nations distribute powers within newly formed governments.

It seems appropriate that the "central point of analysis and review" envisioned by the report language in Legislative Branch Appropriations, 1990, quoted above, should be located in the seat of national government, Washington, D.C.

Located as it is, two metro stops from Capitol Hill, The Columbus School of Law of The Catholic University of America is in a position to establish a Center that will observe the workings of the three branches of government in the day to day exercise of constitutional functions.

Situated within the context of a university, the School of Law is positioned similarly to work cooperatively with other research institutions, think tanks as well as universities, to accumulate, as a national service, important insights that will assist the government of the United States in the accomplishment of the people's business.

The Constitution serves as the framework for American government. The constitutional separation of powers leads to struggles among branches for balance, or advantage, of power. This tension is as old as the Constitution itself; and although it is important to maintain a healthy tension among the branches, when that tension slows the progress of decision-making, it is necessary to examine the system.

This examination must be done, not only in the abstract, but in the context of day to day issues faced by Congress and the other branches.

Mr. Chairman, you will recall that the first vote of the second session of the 101st Congress called to issue the separation of powers doctrine.

The question related to legislation designed to extend the residency of Chinese students. The President vetoed the bill, arguing that an executive order to the same effect was more appropriate in keeping with presidential prerogatives to conduct the nation's foreign policy.

Even now a difference of opinion seems to exist between a federal judge and a former president regarding executive privilege.

There are numerous struggles between and among the branches which need not be discussed in this brief testimony. You are familiar with them.

The Center for Congress and the Constitutional Process at The Catholic University of America proposes to study these struggles, as I indicated, in their historical, political and legal dimensions so as to suggest ways and means for cooperation among the branches to the benefit of the American people.

The Center will be academic, but it will be also "action-oriented" in that its published research and its educational endeavors will be designed to facilitate the work of this nation's government.

Though located within the University's Columbus School of Law, it will be interdisciplinary. Members of the departments of politics, history, and economics as well as members of the law school faculty will participate. Additionally, persons who have served in government as well as scholars residing in Washington's numerous research centers will be invited to participate. The intention is to make available the finest research possible, and to communicate that knowledge as effectively as possible to the women and men charged today with making government work.

In all its activities, the Center will maintain academic integrity and competence in its research methodologies and educational programs. Its efforts will focus on serious inquiry, avoiding always ideological or partisan leanings.

To accomplish the goals set forth for this national center to study the constitutional doctrine that divides power among the three branches of government, The Catholic University of America intends to set aside space in its new $30 million, 165,000 square foot facility designed as the new home for The Columbus School of Law.

This space will include offices for visiting and resident scholars, meeting rooms for seminars and symposia, archival space for an audio/video "living history" of separation of powers struggles, and a reference library focusing on interbranch relations.

We will raise $25 million for the new complex from private sources. We request $5 million in federal cost-sharing.

The operating costs will be supported by general University funds as well as from gifts and grants from corporations, foundations and private donors.

Mr. Chairman, I would like to submit for the record the full text of our proposal.

I thank you, Mr. Chairman, and the members of your Subcommittee of the House Appropriations Committee, for the opportunity to present this testimony.

CENTER ON CONGRESS
AND THE CONSTITUTIONAL PROCESS

The Columbus School of Law
The Catholic University of America
Washington, D.C.
February 1990

EXECUTIVE SUMMARY

This proposal seeks congressional support to provide facilities for the Center on Congress and the Constitutional Process at the Columbus School of Law of The Catholic University of America (CUA).

In this seat of national government there is need for an independent, scholarly, professional resource center to provide ongoing review and analysis of the processes, prerogatives, and powers of Congress under the Constitution. The Center at CUA will concentrate on the interaction of the three branches of government, but particularly on the Congress, both in its day-to-day exercise of the legislative function and especially with respect to those extraordinary matters that can test the nation's constitutional foundation -- impeachment, the budget process, the advise and consent role, constitutional amendment procedures, war powers, legislative veto, intelligence and foreign policy issues, and the like.

The Center will operate in three modes. Its core will be a component of scholar/experts who will gather and analyze pertinent information and literature, create archival records (both paper and audio-visual), sponsor conferences, colloquia, and special briefing sessions for members of Congress and the executive and judicial branches, and be responsive to requests for help from Congress and elsewhere. This will include not only faculty and staff of the law school but distinguished visitors with real world experience in the constitutional process of government.

A cognate function will be the development of sophisticated training materials and programs for those studying or involved in the processes of Congress. A third interrelated component will concentrate on the development of technological tools for research and information management to facilitate the study and critical assessment of Congress' constitutional powers.

The Center will be located within the new facility of the Columbus School of Law at CUA (scheduled for completion in 1992), in a Washington, D.C. setting with optimum access to key people and information sources. In addition to its own resources, the Center will draw on the broad expertise of the Law School faculty generally, CUA Law's existing public-policy oriented programs, and its library resources and staff. Oversight will be through normal University channels, reinforced by an advisory group representative of the Congress, the other government branches, academia, and the public.

CENTER ON CONGRESS AND THE CONSTITUTIONAL PROCESS

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I. THE NEED FOR A CENTER ON CONGRESS AND THE CONSTITUTIONAL PROCESS

Events of recent years and decades highlight the healthy tension among the legislative, executive and judicial branches of our federal government. Always at the center of these events are questions of the proper constitutional role of the Congress, the voice of the people, on matters from impeachment to budget balancing, from "advise and consent" to legislative veto, constitutional amendments, war powers and intelligence activities. Yet nowhere is there a central source of information, history and analysis on the core questions of constitutional process that are common to these issues and to Congress' role in them.

A. Nature and Significance of Issues

In the well-known "Steel Seizure Case," Youngstown Sheet & Tube Co. v. Sawyer, Justice Frankfurter admonished that the constitutional dimensions of our three branches of government should be considered in the context of their actual workings.

> [The] content of the three authorities of government is not to be derived from an abstract analysis. The areas are partly interacting, not wholly disjointed. The Constitution is a framework for government. Therefore the way the framework has consistently operated fairly established that it has operated according to its true nature. Deeply embedded traditional ways of conducting government cannot supplant the Constitution or legislation, but they give meaning to the works of a text or supply them. It is an inadmissible narrow conception of American constitutional law to confine it to the works of the Constitution and to disregard the gloss which life has written upon them.

The drama of separation of powers goes to the heart of our constitutional system, yet it is played out in real time, by real people, in the context of real national problems. The constitutional role of the Congress, therefore, cannot be analyzed only in the abstract, but must be examined with reference to how the branches of government really work, both day to day and in times of crisis.

There are everyday questions about the role of Congress vis-a-vis the executive and judicial branches -- legislative procedures, delegations of authority to executive and independent agencies, budget-making processes, and consultative roles on judicial and executive appointments. There are recurring struggles for balance, or advantage, between the branches that surface as issues of statutory limits on federal court jurisdiction, or legislative vetoes of agency action, or debates over the funding of foreign policy initiatives. And occasionally there are cataclysmic events that wrench the constitutional fabric -- undeclared wars, presidential impeachment, controversial proposals for constitutional amendments.

The first vote of the second session of the 101st Congress had a separation of powers implication. The legislation designed to allow Chinese students to extend their residency in the U.S., for example, and the efforts to overturn the presidential veto, was an example of executive and legislative tension over the power to conduct foreign affairs. Even more recently, a judge ruled that former President Ronald Reagan must turn over excerpts of his presidential diary. This ruling is being challenged by the Justice Department over the waiving of executive privilege. Still another example of separation of power issues is the on-going struggle between the executive and legislative branch over the legislative veto question. These are just a few of the examples of conflict between the branches.

As Justice Frankfurter sagely observed, these events and processes can never be understood and assessed only by reference to the written Constitution. It requires understanding also of "the gloss which life has written" upon that document.

B. Utility to Congress of an Independent, Academically Oriented Resource Center

Congress and the nation will benefit from the existence of a Center that has the singular role of examining the constitutional processes of government, particularly those affecting Congress, and providing the fruits of its research to the Congress and those involved with it. This will be the charter of the proposed Center.

The Center will employ the classic tools of an exemplary research institution: excellent research scholarship, a broad and growing library and archive collection on the subject of separation of powers, and outreach programs to make this material available to the appropriate constituencies. It is critical that the Center maintain a posture of independence from any interest group, so that its work product can be acknowledged for objectivity. It is also critical that the Center manifest complete academic integrity and competence in its research methodologies and programs. A university setting assures these goals. At the same time, the Center's efforts would remain focused on questions of process, and it would never take partisan positions on legislative matters.

In addition, the Center's training and technology components will extend the benefits of the research component to a wide spectrum of government personnel, law students, and other scholars and researchers.

In the future, therefore, Congress will have available to it a repository of knowledge, including research studies and historical materials, that it can turn to for guidance, insight and direction when it confronts issues of constitutional process again. Those issues, so often dramatic, will arise in new garb, in a different setting, and with new players, but should be more manageable and less traumatic because the Center is there.

C. Complementarity with Existing Institutions

The proposed Center will be unique and will not replicate any existing research and training institution. Its University base and independence of action, and its committed focus on questions of separation of powers among the three branches, differentiate the Center from, for example, the Library of Congress and its Congressional Research Service, or from the Stennis Center for Public Service Training and Development which concentrates on training for public service. There is no equivalent Center in the nation.

While the Center is unique, it will not be insular. Its structure assumes active ongoing participation by Visiting Scholars and other experts, who may be former members of Congress, or key staff persons, or scholars from other universities wishing to spend time working in the Center. The Center welcomes the opportunity to work cooperatively with other research institutions and think tanks, as well as universities. The Center will operate as a magnet, attracting the best scholarship and the best experience available in the nation.

II. STRUCTURE AND OPERATIONS OF THE PROPOSED CENTER

The paragraphs below describe the Center as it will be fully operational in the Law School's new building in 1992. Initial steps are already underway to prepare for the Center's location in the new facility.

A. Overall Organizational Structure and Staffing

The Center will be located within, and will have access to all the resources and facilities in the Law School. It will have three distinct components: (1) a core group of researchers, Visiting Scholars, and other experts, engaged in studies and research; (2) through conferences, briefing sessions, seminars, and colloquia , the Center will be a resource to staff members of the executive and judicial branches as well as wider audiences. In addition, the Center will be an educational arm to extend teaching methodologies already employed in the Law School to the work of the Center; and (3) a "technological applications" project, working in conjunction with the Law School library to develop the most sophisticated techniques for gathering, storing, retrieving and exchanging information pertinent to the area of separation of powers.

There will be a director (or equivalent administrator) for the Center as a whole, and sufficient staff to support and sustain its operations. Interested members of the Law School faculty will be invited to participate in the research and educational work of the Center, on a project basis or for a semester or school year at a time. Students of the law school may be involved as research assistants, archivists, and the like. We also envision programmatic interaction throughout the Law School, for example by collaboration between the Center and our special programs in Law & Public Policy, Comparative and International Law, Labor Law and Communications Law.

B. Research/Analysis/Archive Component

The central component of the Center for Congress and the Constitutional Process will provide research and analysis, and record "living history," on how Congress functions in a constitutional framework of powers shared with the executive and the federal judiciary. This aspect of the Center will be unique in both subject matter and method. Its substantive focus will be in the interaction of the three branches of government with respect to both day to day matters and constitutional questions that arise less frequently but can create major constitutional shockwaves. Matters of interest include the budget and expenditure process, rule making authority and legislative veto, Congressional powers over federal court jurisdiction, impeachment, the amendment process, appointment and confirmation of judges and senior agency officials, war powers, and the clashes between Congressional and Executive power over covert intelligence activities and other foreign policy matters.

1. Originator and repository roles

In this aspect of its work, the Center will both originate research and analytic studies, and serve as a repository for documentary and "living history" records on the congressional process. The staff of the Center, including its resident scholars, other experts, and participating faculty, will conduct original studies on separation of powers issues, current, historical, and prospective. The Center, with the assistance of the Law Library, will gather material for its own research, and to serve as a repository for investigations by others.

A particular feature of the Center's research function will be to generate a library or archive centered on those individuals who have themselves been history-makers or participants in significant constitutional-process events. We envision an archive of personal papers and memorabilia, transcribed or video-taped interviews, and taped records of actual or reconstructed Congressional exercises.

A further dimension of this research component will be to disseminate its work product through seminars, conferences, briefings, and similar programs. These can be sponsored by the Center itself, or jointly with other interested organizations. While no formal Center journal is envisioned at this time, publication of Center studies, reports or programs is possible through the Law School's existing journals, or in cooperation with other respected journals or publishers.

2. Key personnel: scholar/experts

The flagship of the Center will be the Resident Scholars. They will be persons of distinction, either by virtue of their service in the Congress or in the executive or judicial branches. They will, on the strength of their accomplishments, give the Center what Justice Frankfurter called "the gloss which life has written" on the constitutional abstraction of separation of powers. They will conduct or coordinate research projects, help organize and host conferences and symposia, and in general participate in setting and executing the Center's agenda. As with the Center itself, these Resident Scholars will also be involved in the larger life of the Law School, offering courses and seminars or lecturing or team-teaching in the general curriculum.

In addition this research component of the Center will be augmented by other persons whose experience or research interests will advance its work; this will include members of our own faculty, and scholars from other institutions.

C. The Educational/Action-Oriented Component

An important part of the Center's activities will be to educate others about the manner in which congressional responsibilities are executed within the constitutional framework. There could be no better locus for such activity than in a new law school facility designed to expand our already considerable training experiences in the public policy area.

1. Target audiences

The Center intends to be directly responsive to the needs of Congress, and Congress' constituencies. Thus in the first instance the Center envisions itself as a resource for members of Congress and their staffs. Consultation with Center scholars by Congressional offices will be expected. Issues facing Congress in upcoming sessions will be addressed by studies commissioned by the Center. Special briefing sessions will be available each session to members of Congress and their staffs, as well as to members of the executive and judicial branches, relating to emerging issues likely to have separation of powers implications.

Students in the Law School, and by reason of the Washington Consortium of Universities, students from other schools, would have access to the instructional programs of the Center, either as credit-bearing courses or a co-curricular activities.

Beyond these groups there are many others -- high school and college students (and the teachers of those students), practicing lawyers, people from public and private interest groups, state and local legislators and officials -- who could benefit from learning materials and training simulations about the congressional process. To the extent of its capacity the Center, in collaboration with the rest of the Law School, would structure training programs useful to these various groups. Especially in the summer, there will be opportunities for programs, workshops and other exercises, of varying lengths and configurations, and with different training objectives. All this is on the theory that broad based understanding of Congress' role and its mode of operation can only help assure faithful execution of its constitutional responsibilities.

2. Subject matter and methodology

The educational function of the Center would be consistent with its overall purpose: to increase understanding about the appropriate constitutional role of the Congress vis-a-vis the executive and judicial branches. Thus the Center's "teaching" will take several forms.

A primary emphasis will be the action-oriented component of the Center. Conferences, briefing sessions, seminars and symposia will be of tremendous value to members of Congress, and the executive and judicial branches, as issues relating to the process of governing unfold. Other activities may include working with the emerging constitutional democracies of central and eastern Europe as the citizens of those nations disbribute powers with newly formed governments.

Another important element of the educational function will be experiential training through simulation, re-enactment or staging of realistic exercises in the congressional process. This is a form of training at which the Law School has developed a broad expertise, through its clinical programs, professional skills courses, and especially through its Law and Public Policy Program. These include simulations of committee hearings, mark-ups, and legislative sessions, always with the capability to videotape for playback and critique. (The new Law School building design contemplates specific spaces tailored for these purposes.) Participation of distinguished Capitol Hill veterans serving as Visiting Scholars in the Center will offer an incredible dimension of reality and insight.

These kinds of hands-on training experiences do a number of things. They heighten the trainee's confidence at dealing with the "system"; they increase the trainee's knowledge and skills levels; and perhaps most importantly for the Center's purposes they permit an appreciation of the human dynamics that are always at work in the constitutional processes of government.

The Center is interested in providing additional services to the Congress and other branches. These could include forms of cross-training, as where Law School faculty or students serve internships in Congressional offices, or where Congressional staffers (or indeed Members) take or participate in related courses in the Law School curriculum. Programs such as the Congressional Fellows or Intergovernmental; Personnel Act transfers should be interested in arrangements that bring participants together in academically sound enrichment series.

Also, as its research component develops new knowledge and insights about Congress' role, this material would be made available for incorporation into conventional teaching materials at all levels.

D. Technological Applications Component

The Center will utilize the resources available in the Law School, in the University, and in the city, to develop technological systems to complement its research and training activities.

1. Objectives

In today's society, training and research programs on the public policy process that aspire to excellence must employ state-of-the-art techniques for gathering and exchanging information. In collaboration with the Law School library and the CUA School of Library and Information Science, therefore, the Center will seek out the ways in which technology can best assist the work of those studying or teaching about the constitutional processes of government. The objective therefore is to provide those engaged in the work of the Center the most efficient and productive technical systems possible. To the extent mew techniques or methods evolve that would have broader applications, the Center will share those results.

2. Methodology

A primary emphasis of this part of the Center's activities will be to devise and refine the most sophisticated data system possible to support the research and training programs of the Center. For research and archive purposes, this may involve new computer network and storage systems, rational systems for storing and cataloguing large amounts of audio-visual material gathered for the "living history" collection, innovative linkages with other databases in the country and the world, and special programs for computerized retrieval, analysis, or indexing of material. It will involve not only conventional legal research tools, but will also explore the dimensions of on-line federal government data bases and the issues presented by new concepts in electronic interaction with the government itself (e.g., security, privacy and access issues of existing or potential databases).

In relation to its training mode the Center will continue to refine the technological aids to teaching and learning that are already part of the Law School program. These include increasingly flexible audio-visual devices, simulations that are videotaped and critiqued, and satellite-aided teleconferencing.

In these activities the Center will have the expert assistance of the faculty of the CUA School of Library and Information Science, and would plan to draw as well on other Washington area resources, including the Library of Congress.

E. Responsiveness to Congress and the Nation

In all of its operations the Center envisions a continuing interactive relationship with the Congress. It will offer a scholarly preserve for the wisdom accumulated by members of Congress and senior staffers during their years of Capitol Hill experience. Its program would be geared to the needs of Congress for a repository of knowledge and materials on separation of powers. Its activities assume active involvement by both sitting and former Members, and access by all those having legitimate interests in the constitutional process.

In addition to regular personal interchange between the Center and the Congress, all of the work product of the Center will automatically and routinely be made available to the legislative branch. The Center will also file annual reports in its activities with the President of the Senate and the Speaker of the House of Representatives.

III. CUA'S UNIQUE CAPACITY TO HOST THE CENTER

The Catholic University of America, and its Columbus School of Law, are uniquely and ideally suited to host the Center.

A. In General

The University is celebrating its centennial as an institution of higher learning, with a tradition of emphasis on graduate studies and research scholarship. The Law School was founded within the University in 1897. In 1954, the CUA Law School and the Columbus University Law School, created earlier under the auspices of the Knights of Columbus, merged to form the Columbus School of Law of The Catholic University of America. Its location, program interests, and personnel, make it a particularly attractive home for the Center.

> The Catholic University of America is a community of scholars, both faculty and students, set apart to discover, preserve, and impart the truth in all its forms, with particular reference to the needs and opportunities of the nation.

So reads the first sentence of the "Aims of the University." The initiative that is this Center for Congress and the Constitutional Process reflects concretely the University's responsiveness to the "needs and opportunities of the nation."

B. Geography

The Center will be housed within the new facility of the Columbus School of Law, on the spacious CUA campus in northeast Washington D.C. From that location the Center and the people involved in it will have easy access to all the resources of the nation's capital. Within the campus the Center will have available all the facilities, services, and enrichments of the University as a whole.

The Law School's new 165,000 square foot facility will be situated on the eastern side of campus, only a few hundred yards from the Brookland-CUA Metro Station and thus only a short subway ride from the heart of the city. It is but a few minutes ride to the epicenters of our national government.

Within a few steps on the campus are a new dormitory complex and academic buildings designed specifically to serve as conference facilities.

C. Program Experience and Orientation

CUA and its Law School are suited by academic tradition and program orientation to host the Center.

1. The School of Law

The Law School offers J.D. degree training to a student body of about 850, with a faculty of forty. But the program of the school has both roots and present activities from which the proposed Center is a natural extension. Throughout its history the Law School has sought to be especially responsive to the needs of the nation, and attentive to governmental processes. For example, in the early 1970's the Law School sponsored an American Bar Foundation project on Legislative Drafting in Federal Agencies; its results were published in our Law Review, and the American Bar Association published them as a short book.

The Law School has constantly sought to maximize the opportunities presented by its proximity to the seat of government. This manifests itself throughout the regular curriculum where a number of courses deal directly with federal government operations, or are taught by full- and part-time faculty with extensive government service backgrounds. Some of our special programs thrive precisely because of their orientation toward the lawmaking processes in Washington D.C., e.g., the Communications Law Institute.

The epitome of the Law School's interest in the processes of government is our Law and Public Policy (LPP) program. Now in its sixth year of existence, LPP combines clinical externships with academic course work to develop in students an understanding of how public policy is formed and influenced in this city, and the lawyer's roles in the process. The framework for this program is described by its Director in McDougall, Lawyering and Public Policy, 38 Journal of Legal Education 369 (1988). The contents of seminars, and public forums -- virtually all directed toward aspects of separation of powers, e.g., Gramm-Rudman-Hollings, sanctions on South Africa, tax reform, the Iran/Contra affair, financing higher education, and homelessness.

The annual rosters of programs, conferences, and faculty projects in the Law School revolve in large measure around the activities of the national government. It is this pattern that underlies our interest in the Center.

2. In the University

The University's roots in the Roman Catholic tradition encourage a commitment to public service and public policy research exemplified by a number of programs that can be additional resources for this project. CUA's National Catholic School of Social Service (NCSSS), one of the finest schools of social work in the country, stresses policy analysis and advocacy. NCSSS programs include a summer Policy Advocacy Institute for graduate students, with an externship component in the Congress or with social welfare groups working with the Congress. Through its research and teaching activities, the Institute of Social Justice within NCSSS helps groups working with underserved and underrepresented populations to improve social justice.

CUA's Life Cycle Institute conducts research and training in social science as applied to the problems of childhood, youth, family, and aging. The Institute combines teaching, research and service in a cross-disciplinary setting, including sociology, developmental and clinical psychology, education, religion, and social service.

CUA offers undergraduate majors and graduate degrees in political science, economics, history, and international relations. It has offered a Master's degree in Congressional Studies for almost twenty years, and it has enrolled many congressional staff members and others working in the legislative process. It schools of Engineering, Nursing, Music, and Library and Information Science provide openings to current knowledge about technology, health care, the arts, and information management.

Cua has been involved in cooperative ventures with the Library of Congress, including pending arrangements for the Library's quincentenary exhibit in honor of Christopher Columbus' voyage to America to be displayed at CUA's planned Italian American Heritage Center.

D. Faculty Expertise

In addition to a number whose primary interest is constitutional law, the CUA law faculty includes people of broad experience and expertise in many areas of governmental structure and national policy. These areas includes, e.g., drug enforcement, fair employment, alternative dispute resolution, securities regulation, tax policy, banking, commercial and consumer transactions, labor relations, occupational safety and health, communications, national security and military law, homelessness, housing, urban and regional development, international law, comparative law, Indian law, aging, antitrust, family abuse, education, civil rights, bio-medical issues, legal history, and federal court practice and procedure.

A common denominator of these fields of specialization is that they inevitably require close familiarity with the role and powers of Congress vis-a-vis the other branches of government. This is enhanced by our location in Washington D.C., which makes the study of Congress and its working a natural outgrowth of almost all faculty research. Virtually every member of the law faculty has had a working involvement with Congress, as staff member, expert witness, consultant or report drafter.

Attached as Appendix A are summary biographies of the members of the Law School faculty. Their range and depth of expertise are inherent resources for the Center, and are reinforced by the expertise of faculty in other CUA schools and departments.

E. Facilities

The University, and the Columbus School of Law, will provide ideal facilities for the Center's research, conferencing, training, and technology activities.

1. New law school building

While the Law School has achieved distinction, it has done so despite existing facilities that are ill-designed, too small, and scattered in four locations. On the drawing boards, therefore, is a new Law School building of some 165,000 square feet, located in the eastern side of the CUA campus very near the Brookland-CUA metro station.

The new building will draw all law school functions under one roof, in a facility specifically designed to enhance legal training and legal research and scholarship. The library will grow to more than 43,000 square feet of research and study space, including the requirements for the research collection, archives, and technology needed for the Center's programs. There will be spaces specifically designed for simulation of full legislative bodies and committees, with recording and playback capacity. Equipment and facilities for editing video materials and teleconferencing will allow the Center's programs and materials to be shared across the nation.

No other institution, in Washington or elsewhere, will have an equivalent physical plant, in terms of capacity, technology, design features and proximity to the seat of government, to house the proposed Center.

2. University support facilities

The new Law School building housing the Center will be able to draw in the other University support facilities. These include dormitory, dining and meeting spaces for conferences; the million-volume Mullen Library; the Computer Center; the specialized resources and facilities of other CUA departments; and the cultural and athletic programs of the University as a whole.

IV. THE PROPOSAL FOR CONGRESSIONAL FUNDING

A. Summary Rationale

This proposal is for federal support for physical facilities for the Center for Congress and the Constitutional Process in the new building of the Columbus School of Law at CUA.

The proposed Center will occupy certain fixed space in the Law School building, to house the staff, its archival materials, and the Visiting Scholars. It will also draw pervasively on other spaces in the building that are used for the regular Law School program, such as the library, computer technology centers, classrooms, courtrooms, and simulation rooms.

The Center will be established with the charter to be a resource to the Congress and the nation on the fundamental and profound issues of separation of governmental powers. It will pursue this mandate through research, training, and technological application components, including especially a "living history" archive of materials that trace the impact of notable participants in those governmental processes. CUA and its Law School are the ideal hosts for such a Center, by virtue of location, program interests, faculty expertise, and educational tradition.

B. Dollars Requested and Project Schedule

The Columbus School of Law requests $5 million in federal support to locate the Center in the new law school building. This request is for brick-and-mortar construction costs, and does not contemplate ongoing operational support for the Center's program, which will be funded by the University and the Law School.

The federal support will provide: headquarters for the Center's administration and its three operating components, the research and living-history component, the training arm, and the technological applications project; space for supporting library collections and archival storage; necessary support technology; teaching and training facilities designed for legislative simulations and re-enactments, equipped with the necessary audio-visual equipment; taping and teleconferencing facilities; and sufficiently large and numerous support spaces, meeting and conference rooms, offices, storage, and the like, so that the Center will compliment, but not disrupt, the regular Law School educational program.

The design phase of the new Law School building is now underway, and critical decisions about space allocations necessary to house the Center will have to be made within a few months. The current schedule calls for groundbreaking in late 1990, and occupancy by the fall of 1992.

The Catholic University of America

President and Law Faculty

PRESIDENT

Reverend William J. Byron, S.J. is president of The Catholic University of America, a post he has held since 1982. He holds degrees in philosophy and economics from St. Louis University, two theology degrees from Woodstock and a doctorate in economics from the University of Maryland as well as a certificate from the Institute for Educational Management at Harvard. He is the author of Quadrangle Considerations (1989) and Toward Stewardship (1975) and editor of The Causes of World Hunger (1982). He has in print more than 100 articles dealing with economics, social ethics and educational issues. His active board memberships include trustee responsibilities at Loyola University of New Orleans and Loyola University of Chicago. He is board chairman of Bread for the World; chairman of the National Advisory Board of the Center for Constitutional Studies at Mercer University; and chairman, Division III Subcommittee, National Collegiate Athletic Association Presidents Commission. He also serves as a member of the Board of Directors of the Medlantic Management Corporation, the Overseas Development Council, the National Association of Independent Colleges and Universities, and the Education in Partnership with Technology Corporation of the District of Columbia.

DEANS

Ralph J. Rohner, Dean and Professor, A.B. 1960,; J.D., 1963, CUA. Dean Rohner is a noted authority on consumer credit, general consumer, and banking law. He began teaching at the Columbus School of Law in 1965 and became Dean in January 1987. In 1975-76, he served as staff counsel to the Consumer Affairs Subcommittee of the Senate Banking Committee. He has consulted for the Federal Reserve Board, the Federal Deposit Insurance Corporation and various trade associations. From 1979 through 1981, he served as a member of the Federal Reserve Board's Consumer Advisory Council, and in 1981 he chaired that Council. He is editor/co-author of a major treatise on Federal Truth in Lending law and co-author of a law school casebook on consumer law as well as numerous articles on commercial law topics.

George E. Garvey, Associate Dean for Academic Affairs and Professor, B.A., 1969, Illinois: J.D. 1972, Wisconsin. Professor Garvey is a nationally recognized expert on antitrust and related economic regulatory laws and policy. He began teaching at Catholic University in 1978. He was on leave during the 1980-81 academic year, serving as Counsel to the Subcommittee on Monopolies and Commercial Law of the House Judiciary Committee. In 1984, he completed a study of the antitrust treble damage remedy for the House Judiciary Committee. In the last seven years, he testified before Congressional Committees about antitrust matters seven times. He also writes and speaks extensively in the antitrust field. Professor Garvey was a senior research Fulbright Scholar during the 1986-87 academic year, studying European competition policies in the Federal Republic of Germany. In addition to Antitrust, he has taught Corporations, Constitutional Law, Unfair Trade Practices, Regulated Industries, International Economic Regulation, and Law and Economics.

Samantha P. Sanchez, Associate Dean, B.A., 1966, Michigan State; J.D., 1973, CUA. In addition to her administrative responsibilities, Dean Sanchez teaches Federal Income Tax, Contracts, and Tax Policy. Prior to coming to Law School, Dean Sanchez was legislative counsel to Senator Floyd Haskell and a staff attorney with Ralph Nader's Tax Group. She serves as a board member of The Taxpayers Committee, a tax reform group. From 1979-83, she was a consultant on tax policy issues to the National Task Force on Sex Discrimination within the Justice Department.

PROFESSORS

Louis J. Barracato, Associate Professor, B.S.S., 1962, Fairfield University; J.D., 1966, CUA. Professor Barracato teaches an extensive simulation course in trial advocacy and pre-trial practice as well as teaching Evidence. From 1980-86, he taught for the Federal Practice Institute of the Federal Bar Association.

Maxwell H. Bloomfield, Professor, B.A., 1952, Rice; LL.B., 1957, Harvard; Ph.D., 1962, Tulane. Professor Bloomfield has taught history at Catholic University since 1966 and served on a joint appointment to the law faculty since 1985. He teaches, writes, and lectures on history of American law, history of lawyers in the United States, and American constitutional history.

Leroy D. Clark, Professor, B.A., 1956, C.C.N.Y.; LL.B., 1961, Columbia. Immediately before coming to Catholic University in 1981, Professor Clark served as General Counsel of the Equal Employment Opportunity Commission. He also formerly was a Professor at New York University Law School, an attorney with the New York State Attorney General, and on the staff of the NAACP Legal Defense and Education Fund. He co-authors a law school text and supplement on employment discrimination and wrote a book on use and abuse of the grand jury as well as numerous articles on labor and employment, civil rights, drug enforcement policies, and other topics. He teaches labor, fair employment, and criminal law and frequently serves as an arbitrator.

Michael M. Cozzillio, Assistant Professor, B.A., 1970, Delaware; J.D., 1973, CUA. Before teaching at Catholic University, Professor Cozzillio practiced labor law as a partner with Akin, Gump, Strauss, Hauer & Feld. He teaches administrative, contract, and sports law. He has written articles on sports law and is under contract for a law school textbook on that subject.

Robert A. Destro, Associate Professor, B.A., 1972, Miami Univ.; J.D., 1975 Cal., Berkeley. Professor Destro began teaching at Catholic University in 1982 and his courses include Constitutional Law, First Amendment Law, Church/State Relations, Conflicts of Law, and Professional Responsibility. In 1983, Professor Destro was selected by the House Minority Leader to a six year term on the United States Commission on Civil Rights. He is Director of the University's Interdisciplinary Program in Law and Religion, a project jointly funded by the Henry Luce Foundation and CUA. Prior to joining the CUA faculty, Professor Destro was General Counsel for the Catholic League for Religious and Civil Rights and an attorney with the Cleveland, Ohio firm of

Square, Sanders, and Dempsey. He has testified before Congressional Committees seven times in the last eight years, filed amicus briefs with the United States Supreme Court, and written numerous articles on constitutional law, religious freedom and the rights of those with disabilities.

Clifford M. Fishman, Professor, B.A., 1966, University of Rochester; J.D., 1969, Columbia. Professor Fishman authors and regularly updates a major treatise on electronic surveillance as well as having published other articles on criminal law and evidence topics. He is under contract to write a five volume treatise on evidence. From 1984-86, he served as a consultant to the President's Commission on Organized Crime. He teaches Evidence and Criminal Law. Prior to teaching at Catholic University, he was a prosecutor in New York City for eight years, his last position being as Executive Assistant District Attorney in the Special Narcotics Prosecutor's Office. Professor Fishman has testified before several Congressional Committees on electronic surveillance. With Professor Destro, he is currently conducting a study for the Justice Department on the advisability of enhancing the sentence of individuals with the HIV virus who are convicted of certain drug and sex offenses.

William F. Fox, Professor, B.G.S. 1970, George Washington; J.D., 1972, CUA; LL.M., 1974, Harvard. Professor Fox has authored books on administrative law, international commercial agreements, and federal regulation of energy as well as articles on these and other legal topics. He co-directs Catholic University's Comparative and International Law Program. He has lectured extensively on environmental, energy, and international law topics in the United States and abroad.

John L. Garvey, Professor, A.B. 1945, Xavier; LL.B., 1948, CUA; LL.M., 1957; S.J.D., 1967, Michigan; LL.D. 1978, Xavier Univ., Cincinnati. Professor Garvey is the senior member of the CUA Law faculty having taught there since 1951. Most of his teaching and research now centers on estate law, planning, and taxation. He is co-author and regularly updates the *Practice Manual and Commentary on the District of Columbia Probate Code*.

David J.K. Granfield, Professor, A.B., 1944, College of the Holy Cross; LL.B. 1947, Harvard; M.A., 1953; S.T.D., 1962, CUA. Professor Granfield teaches jurisprudence and criminal law and published a major book on jurisprudence last year. He has taught at the Law School for twenty-nine years and has authored other works on jurisprudence, family and abortion law.

Roger C. Hartley, Associate Professor, B.S., 1965, Cornell; J.D., 1970 Pittsburgh; LL.M., 1972, George Washington. Professor Hartley's professional career has centered on labor law and appellate advocacy, those also being his teaching areas at the Law School. Prior to joining the faculty at Catholic University in 1974, he was an appellate attorney with the National Labor Relations Board and in a private labor law practice. He has co-authored two editions of the major treatise, *Labor Relations in the Private Sector* as well as articles on labor law and policy.

William A. Kaplin, Professor, A.B., 1964, University of Rochester; J.D., 1967, Cornell. Professor Kaplin is a nationally recognized expert in education law and author of two editions of the major reference work, *The Law of Higher Education*. He began teaching at Catholic in 1970 and currently teaches education law, civil rights law, and basic and advanced constitutional law courses. He serves on the Advisory Board of the Center for Constitutional Studies at Mercer University and has been a consultant to the federal government and private institutions on many aspects of education law and policy. He is experienced in using simulation to teach the legislative and public policy process.

Lisa G. Lerman, Assistant Professor, B.A. 1976, Barnard; J.D., 1979, New York University; LL.M., 1984, Georgetown. Professor Lerman has written, consulted, and spoken extensively on domestic violence including projects for the Department of Justice and training programs for law enforcement officers sponsored by the Departments of the Treasury and the Army. She also has written and has extensive experience in clinical teaching, particularly in legislative simulations. Professor Lerman teaches in the Law School's Law and Public Policy Program as well as teaching courses in Professional Responsibility, and Contracts.

Urban A. Lester, Associate Professor, B.A. 1954; J.D., 1959, CUA. Professor Lester co-authors a text on litigation with the Federal Government. He has been Director of the National Institute of Trial Advocacy Teacher Training Program at Harvard Law School since 1972 and on the Advisory Board of Directors of the Hastings College of Trial and Appellate Advocacy since 1982. He also has taught numerous programs of the National Institute of Trial Advocacy. Professor Lester joined the full-time faculty in 1978 after serving CUA as a Distinguished Lecturer while he was in private practice. He teaches Civil Procedure, Federal Litigation, Corporations, and Professional Responsiblity.

David Lipton, Professor, B.A. 1966, Cornell; M.A. 1968, Columbia; J.D., 1972, Michigan. Professor Lipton has authored the major treatise on federal securities regulation of broker-dealers and a textbook on accounting for lawyers with emphasis on corporate and securities concerns in addition to numerous articles. He regularly chairs arbitration panels for the New York Stock Exchange and the National Association of Securities Dealers as well arbitrating securities and contracts matters for the American Arbitration Association. For the past three years, Professor Lipton has been elected as the Vice-Chair to the D.C. Bar's division of Corporations, Finance and Securities. He has written, lectured, and been quoted extensively in national media on law and policy in securities regulation and devices for dispute resolution.

Rett R. Ludwikowski, Professor, M.A., 1966; Ph.D. (Law), 1971; Ph.D. (Pol. Theory), Jagiellonian University. Professor Ludwikowski was a professor and chairman of Legal Studies and Business Departments at Jagiellonian University in Krakow, Poland before coming to the United States in 1981. He is the author of six books and numerous articles on various topics in international and comparative law and politics and has lectured extensively on those subjects. With Professor William Fox, he co-directs CUA Law School's Comparative and International Law Program. Currently, he is completing a comparative constitutional study of the American and the first European Constitutions.

Raymond B. Marcin, Professor, A.B., 1959, St. John's, Boston; A.B., 1961, Fairfield; J.D. 1964, Fordham; M.L.S., 1984, CUA. Professor Marcin began teaching at Catholic University in 1972 and has taught Constitutional Law, Civil Proecedure, Contracts, Legislation, Legal Process, and Remedies. His most recent publications are on jurisprudential topics and homelessness. He serves as faculty co-editor of the Journal of Contemporary Health Law and Policy. Since coming to Catholic, he has testified twice before the United States Senate Committee on the Constitution. Prior to joining the faculty, he was counsel for the Connecticut legislative commissioner's office, staff counsel for the Connecticut Commission on Human Rights, and held various positions with the Hartford legal services program.

Stephen G. Margeton, Professor and Director of the Law Library, A.B., 1967, Mt. Saint Mary's; J.D., George Washington; M.S.L.S., 1973, CUA. Professor Margeton joined the CUA Law School faculty in November 1988 after serving as Librarian of the United States Supreme Court since 1985. Prior to that time, he was law librarian at Steptoe and Johnson and a reference librarian at the Library of Congress. In 1987 he co-chaired a conference on law library design for the American Association of Law Librarians. He also has written on that subject as well as other topics in law librarianship and legal research.

Harold A. McDougall, Associate Professor, B.A., 1967, Harvard; J.D., 1971, Yale. Professor McDougall directs CUA's Law and Public Policy Program. LPP combines clinical and classroom courses in the theory of the public policy process with practical externships and substantive law courses. Prior to coming to Catholic in 1985, Professor McDougall taught at CUNY, Antioch, and Rutgers Law Schools, was a staff attorney at the Bedford Stuyvesant Restoration Corporation, and practiced with Paul, Weiss, Rifkind, Wharton & Garrison. Professor McDougall's recent article in the Journal of Legal Education on CUA's LPP program is attached. He also teaches and writes on housing, urban, and regional development law and policy.

Veryl V. Miles, Assistant Professor, B.A. 1977, Wells College; J.D., 1980, CUA. Professor Miles began teaching at George Mason Law School in 1983 and has been at Catholic University since 1987. At both schools, she concentrated on commercial law topics--commercial transactions, commercial paper, creditors' and debtors' rights, and contracts. Prior to entering teaching, she was a staff attorney for the Board of Governors of the Federal Reserve system. She has written articles on the federal bankruptcy law and banking regulation.

Benjamin M. Mintz, Associate Professor, A.B., 1948, Brooklyn College; LL.B., 1952, Columbia; Ord., 1954, Yeshiva. Before entering teaching in 1981, Professor Mintz was the Associate Solicitor for Occupational Safety and Health at the U.S. Department of Labor for eleven years. Prior to his work at OSHA, he was an attorney with the Department of Justice and with the National Labor Relations Board. He is the author of a major treatise on federal occupational safety and health law and policy as well as several articles and book chapters on occupational health. He also is under contract with the Administrative Conference of the United States to revise A Guide to Federal Agency Rulemaking. Teaching assignments have included Safety and Health in the Workplace, Rights of Individual Employees, Administrative Law, Labor Law, Congress and the Legislative Process, Law and Public Policy, and Introduction to Jewish Law. The legislative process course focuses on the Congress as an institution, describing in considerable detail how it operates and relates to other institutions of government and to the public.

Linda S. Mullenix, Associate Professor, B.A. 1971, CCNY: M.Phil, 1974; Ph.D., 1977, Columbia; J.D., 1980, Georgetown. Professor Mullenix is a nationally recognized expert on federal procedure. In her eight years of teaching, she has published twenty-six articles, amicus briefs, book reviews, and commentaries on topics in federal jurisdiction, procedure, law and philosophy, and other topics. She has been selected as a Judicial Fellow for 1989-90 by the Supreme Court Judicial Fellows Commission.

Nell J. Newton, Professor, B.A., 1973, Cal., Berkeley; J.D. 1976, Cal., Hastings. Professor Newton has co-written the latest edition of an Indian law textbook that is soon to be published. She has written, spoken and consulted extensively on Indian law and is regarded as the leading expert on congressional power over Indian affairs. As well as a seminar in Indian law, Professor Newton teaches Constitutional Law, Contracts, and Conflicts of Law.

Michael F. Noone, Jr., Associate Professor, B.S., 1955, LL.B. 1957, LL.M., 1962, Georgetown; S.J.D., 1965, George Washington. Professor Noone joined the law school faculty in 1978 after having served as a Judge Advocate specializing in civil-military relations, including an assignment as Chief of Congressional Legislation for the Secretary of the Air Force's Office of Legislative Liason. His doctoral dissertation was printed by the Senate Judiciary committee as part of its report justifying amendment of the Tucker Act. Since joining the faculty, he has chaired the Federal Bar Association's

Tort Claims section, organized a half dozen programs on law and public policy, and testified before both the House and Senate Judiciary committees on claims matters. He has co-authored and edited books on litigation with the Federal Government (with Professor Lester of the faculty) and on the problems posed by claims of conscientious objection. His articles have focused on tort claims and the legislative and judicial control of the military. He is now doing research on British and Israeli experiences in handling tort claims against their security forces. He teaches Torts, Remedies, Products Liability Law, Federal Litigation, and has taught courses on Public International Law.

Raymond C. O'Brien, Associate Professor, A.B. 1966, La Salle; J.D. 1969, University of Virginia; M.Ch.A., 1975; D.Min., 1985, CUA. Professor O'Brien teaches Estates and Family Law. He is a member of the national board of trustees of the Law School Admissions Council. He has written and spoken on a number of topics including family law, a religious perspective on legal education, law school admissions, and legal issues relating to AIDS.

Daniel Q. Posin, Jr., Professor, A.B., 1963, California, Berkeley; LL.B. 1967, Yale; LL.M., 1975, New York University. Professor Posin authors the major one volume treatise on federal income taxation of individuals, numerous articles on aspects of tax law and policy, and is completing a treatise on tax planning for corporate takeovers. Prior to joining the Law School faculty in 1986, he taught at Southern Methodist, Hofstra, and the University of East Africa, was in private practice, served as legislative assistant to Congressman William Ryan, and was staff counsel to Consumers Union and Ralph Nader.

Ellen M. Scully, Assistant Professor & Director, Columbus Community Legal Services, A.B., 1964, Salve Regina College; J.D., 1967, CUA. Professor Scully directs the neighborhood legal clinic operated by Catholic University Law School and has been with that program for fifteen years. Prior to that time she worked with legal services program in the District of Columbia and the Department of Justice. She has served on numerous committees of the D.C. Bar and courts as well as having been requested to serve as an amicus by the District of Columbia Court of Appeals.

Karla W. Simon, Visiting Professor, B.A., 1969, Western College; J.D., 1972, Duke; LL.M., 1976, New York University. Professor Simon has written a number of articles, has spoken at numerous tax meetings, and submitted comments for the ABA Section on Taxation on aspects of federal tax law and policy. She has also testified before Congress on the taxation of fringe benefits. She formerly chaired the American Association of Law Schools Taxation Section and is currently Vice Chair of the ABA's Teaching Taxation Committee. She has been an active member of the ABA, Los Angeles Bar, and New York State Bar Sections on Taxation. Her current research includes work on separation of powers in the federal tax policy process. Professor Simon has recently become the Executive Director of the Tax Policy Institute, an organization affiliated with the American College of Tax Counsel.

George P. Smith, II, Professor, B.S. 1961; J.D., 1964, Indiana, Bloomington; Certificate, 1965, Hague Academy of International Law, The Netherlands; LL.M., 1975, Columbia. Professor Smith has written eight books and more than one hundred articles, chapters, essays, monographs, and reviews. His teaching fields and many of his writings are in law and medicine, bioethics, environmental, international, and property law. His eighteen appointments as a fellow or visiting scholar include time spent at: Cambridge University; the Center for Medicine, Ethics, and Law at McGill University; the National University of Singapore; the American Bar Foundation; the Institute of Advanced Study at Indiana University; the Max Planck Institute for International and Comparative Law in Heidelberg, Germany; the Hoover Institution; the Hastings Center's Institute of Society, Ethics and the Life Sciences; the Rockefeller Foundations Residential Scholar program in Bellagio, Italy; and as a Fulbright Visiting Professor at the University of New South Wales in Sydney, Australia. He is the Founding Editor of The Journal of Contemporary Health Law and Policy. He has testified before House of Representatives' Committees, the U.S. Civil Rights Commission, submitted an amicus brief to the U.S. Supreme Court, served as a member of President Reagan's Private Sector Survey on Cost Control, and consulted in many other capacities.

William J. Wagner, Associate Professor, B.A., 1975, U.C.L.A.; J.D., 1978, Yale; M.A., 1983, CUA. Prior to joining the Law School faculty in 1984, Professor Wagner practiced law with the New York law firm of Hughes, Hubbard & Reed. He has expertise in business and commercial law and teaches courses in Contracts, Commercial Transactions, and Agency and Partnership. His primary scholarly interests are in jurisprudence and law and ethics and teaches Sources of Christian Jurisprudence and Law and Literature. Professor Wagner has published a number of essays, articles, and book reviews on jurisprudence and boiethics topics.

G. Graham Waite, Professor, B.S., 1947; LL.B., 1950; S.J.D., 1958, Wisconsin. Professor Waite joined the Law School faculty in 1966. He has written articles on property law, land use planning and water rights and teaches these subjects as well as real estate transactions, conflict of laws, and estates. Prior to going into teaching, he was an attorney with the United States Atomic Energy Commission and the Department of Navy.

Leah Wortham, Associate Professor, B.A., 1970, Macalester; J.D., 1973, Harvard. Professor Wortham coordinates CUA Law School's nine clinical programs as well as teaching insurance law, conflicts of law and professional responsibility. She has published articles on insurance regulation and now is doing research in professional responsibility and the educational benefits of externships in the law school curriculum. Prior to joining the law faculty in 1981, she was a legal services attorney, a legislative assistant to Congresswoman Elizabeth Holtzman, Assistant to the President for Policy Planning for the Legal Services Corporation, and Deputy Associate Director of the United States International Development Cooperation Agency.

Harvey L. Zuckman, Professor, A.B., 1956, Southern California, LL.B., 1959, New York University. Professor Zuckman is founding Director of CUA's eight year old Institute for Communications Law Studies. He has written extensively in communications law and for four years edited Communications Lawyer, the publication of the ABA Forum Committee on Communications Law. He also teaches and has written in torts and family law. Professor Zuckman was one of the organizers and co-chaired the District of Columbia Bar's Continuing Legal Education Committee for eight years as well as participating in many other professional activities in communications, family law, and continuing education.

CLINICAL INSTRUCTORS

Catherine F. Klein, Supervising Attorney, Columbus Community Legal Services and Director of Family Abuse Project, B.A. 1974, Northwestern University; J.D., 1978, University of Cincinnati. Ms. Klein teaches and supervises law students engaged in clinical practice in a civil poverty law practice. As Director of the Family Abuse Project funded in part by the D.C.Bar Foundation, much of her work is in litigation of domestic relations cases involving violence. In 1985, Ms Klein was appointed for a two year term to the District of Columbia Advisory Commission on Child Support. In 1988, The D.C. Coalition Against Domestic Violence presented Ms. Klein with a service award for her continued and outstanding representation of battered women.

Margaret Martin Barry, Supervising Attorney, B.A., Luther College; J.D., 1980, Minnesota. Ms. Barry teaches and supervises law students in a broad range of civil cases involving emergency and traditional domestic relations, housing, consumer and public benefits law. Prior to joining the Clinic's staff, Ms. Barry was counsel to Congressman Ron de Lugo.

Gary G. Vujnovich, Assistant Director, Columbus Community Legal Services, B.A. 1969, Yale; M.Ed., 1970, University of Massachusetts; J.D.,1976, George Washington. Mr. Vujnovich supervises and teaches students in the previously described work of Columbus Community Legal Services and assists in the law office's administration.

STATEMENT BY MR. VERKUIL

Mr. **FAZIO**. Thank you. At this time I would like to hear from Mr. Verkuil, president of the College of William and Mary.

Mr. **VERKUIL**. Thank you. I have with me Neal Devins, who worked with me on the planning of this center and who would be involved with this program as it goes forward. We have called our center the Center for Interbranch Relations. We worked with that title because if we talked about a Center for the Separation of Powers, that would perhaps slight the idea that our institution talks about not only separate powers, but shared powers.

Somehow we thought the focus ought to be on the relationship between and among the branches through the notion of interbranch relations. That is why we label it as such. We are proceeding on that assumption. I would like to say that Father Byron's fine statement really, I think, sets the background for the reasons why this is important. Of course, your earlier comments on the record have done that. That is why I won't belabor those.

What I would like to talk to you about is the reason that William and Mary is in all this. While Father Byron has the advantage of being two Metro stops away from Congress, we have perhaps another advantage. That is to say, we can take you in 2-1/2 hours back 200 years. The reason that is important is that while many of these items are action-oriented, as Father Byron has stated, and have to be resolved on the spot, you also need a place where perhaps people can come together from all three branches to talk and consider in a quiet way these overarching problems of government. That is really why our location makes sense.

In terms of our traditions, we are in a way the school that has produced many important leaders. Our alumni includes three presidents, Jefferson, Monroe, and Tyler; and as all alumni know, the great Chief Justice John Marshall, along with George Wythe, who was a teacher of not only Marshall and Jefferson, but also of Henry Clay. Henry Clay almost personifies what Congress and the executive branch have done. He became Speaker of the House in his first term. He was a Member of the Senate, Secretary of State, and he ran three times for president and was a student of George Wythe in Williamsburg.

We don't rely on our 18th centuries triumphs for today's purposes, but we would hope that would add some level of relationship to the present problems, being present, if you will, at the creation of many of the constitutional documents.

Today, of course, our activities are focused on many things. We do have a continuing interest in our government. We have a new public policy program. Our chancellor Warren Burger, is interested in these cases and wrote many of the leading cases as Chief Justice. And even I, who at one time was a law school dean, keep up with the field——

Mrs. **BOGGS**. At Tulane University. And Father Byron was at Loyola University next door.

Mr. **VERKUIL**. This is one of the few times Loyola and Tulane have been able to work together.

Mr. **Fazio**. It is always interesting to watch Mrs. Boggs and the eye contact she has with all of our witnesses. There is always a history I am never quite aware of.

Mrs. **Boggs**. You should live so long.

Mr. **Fazio**. That is one of my goals.

Mr. **Verkuil**. We currently are, in our academic program, we are active in this field. We have a public policy program which will focus on separation and shared powers. We have scholarly publications that bear on the question. I happened to bring two with me which I will leave.

One is the William and Mary Law Review, which does published symposia. We have one on separation of powers, the American constitutional tradition of shared and separated powers. Our administrative law review is an arm of the administrative law section of the ABA. It is housed at our campus and it is edited there. It does have separation of powers articles. The administrative law review is constantly concerned with these problems. This reaches an audience of 6,000 of the leading administrative lawyers in the country.

We propose to provide this reflective period task force aimed toward specific problems which might be made aware to us through the Congressional process, concerns involving Congressional and executive branch officials and judicial branch officials, some of which already occur on our campus as a matter of course. Then a clearinghouse function with our library supplying what we would hope to be a continuing and growing record of all of the issues in this field as they evolve, and a fellows program bringing in on a national basis fellows who would study and work with the many issues that would arise. That is how we would propose to go about it.

I would be pleased to sit for questions as you suggest.

[The statement of Mr. Verkuil follows:]

Statement
of
Paul R. Verkuil

President of the College of
William and Mary

Before the

Subcommittee on Legislative,
Committee on Appropriations,
United States House
of Representatives

February 8, 1990

Mr. Chairman and Members of the Committee, I am Paul R. Verkuil, President of the College of William and May and a member of the school's law and government faculties. Thank you for this opportunity to outline William and Mary's plans to establish a Center for Interbranch Studies. I am joined today by Neal Devins, a professor in our law school, and Larry Evans, a professor in our government department.

My remarks today will be divided into three parts. First, I will explain why an academic center which studies the interactions between the legislative, executive, and judicial branches can assist constructive interbranch dialogue. Second, I will explain why William and Mary is the appropriate base for such a Center. Third, I will describe our plans for putting into place such a Center.

I. The Need for a Center

To many observers of national government, the system of separated powers is no longer reliable and effective. A mainstay of constitutional government in America since 1789, the separation doctrine now seems too often a source of interbranch warfare. Instead of confronting and resolving crucial issues of national policy, the President and Congress appear mired in unproductive and inconclusive struggles over institutional prerogatives and powers.

The framers structured government to regulate, not extinguish, political conflict. Through the complex system of checks and balances they hoped to channel political conflicts into productive and acceptable accommodations. As Justice Brandeis noted in his dissent in Myers v. United States (1926), the purpose of the Constitution is "not to avoid friction, but, by means of the inevitable friction incident to the distribution of the governmental powers among three departments, to save the people from autocracy."

Recent decades, however, have witnessed sharp critiques of separation of powers in America. It is argued that whatever merits the system of checks and balances offered in the eighteenth century, they no longer apply to the complex problems facing contemporary society. Critics object that deadlocks in such areas as the budget process and the war powers create a dangerous weakness in government. The Iran-Contra affair is only the most recent illustration of a serious executive-legislative breakdown.

This lack of equilibrium stands as a roadblock to effective and accountable government. On one hand, conflict is indispensable. It helps sharpen issues and prepares the way for consensus and compromise. On the other hand, conflict can be paralyzing, for it often leads to irresolution. When key issues are pushed to the future or to the private sector, the system of separated powers requires careful study to determine its strengths and weaknesses.

This Subcommittee is well aware of the current situation. In its report accompanying the FY 1990 legislative branch appropriation bill, the Subcommittee spoke of the "need to have a central point of analysis and review of matters affecting Congress and the constitutional process."

The purpose of the center we are proposing here is to generate knowledge that will facilitate policy making in American government. Our intention is to contribute to the ongoing process of give and take between all three branches. Our focus will be on actual instances of interbranch conflict, as they emerge and as they occur. We will establish a national learning center in which policy makers can derive added perspective about interbranch relations. This effort matches subcommittee concerns.

The question then becomes whether existing research institutes or existing legislative support organizations (Congressional Research Service, Congressional Budget Office, Office of Technology Assessment, General Accounting Office) are sufficient for the needs of Congress.

The answer is clearly no. First, the support organizations of Congress will be perceived as too closely aligned with the legislative branch to suggest reforms that fully consider the independent interests of all three branches. Additionally, a perspective from outside the government will be helpful and constructive. Second, the focus of existing research institutes in the private sector does not encompass interbranch conflict.[1]

The critical need to examine interbranch relations and the inability of existing entities to fill this need supports the creation of a Center for Interbranch Studies.

II. Why William and Mary

William and Mary - the oldest and most selective public institution of higher learning in the country - is the ideal home for a learning center dedicated to the study of interbranch relations. First, William and Mary has thought out and began to put in place the programmatic structure of such a center. Second, William and Mary's institutional commitment and existing faculty resources provides us with an excellent opportunity to accomplish our stated objectives.

Programmatic Structure

The Center will perform two principal functions -- scholarship and clearinghouse -- and two secondary functions -- professional education and student education:

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[1] Several research institutes currently study individual branches of government. The Carl Albert Center and the Dirksen Center analyze the powers of Congress. The White Burkett Miller Center and the Center for the Study of the Presidency focus on the executive branch. A few institutes examine relations between two branches: the Center for Congressional and Presidential Studies at the American University and the Governance Institute (studying congressional-judicial relations). At present, there are no academic or scholarly centers that investigate the interactions among all three branches.

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ing, you can see how well we are treating our Federal depository and other documents in the new space.

DISSEMINATION OF GOVERNMENT INFORMATION

I have three principal topics today. First, the role of GPO in the dissemination of government information. Then the need to maintain the Congressional commitment to the depository program, and concomitant with that, the significant amount of cost sharing that depositories now contribute to that program.

The issue with respect to the role of GPO is one which was highlighted in "Informing the Nation," the OTA report we finally saw late in 1988. That report made the point particularly strongly for me, I think, that Federal agencies have moved rapidly into use of electronic technologies, and if GPO is to continue its role as a prime disseminator of that information for sale and through the depository library system, it too must be equipped to move into electronic dissemination.

The OTA report raised questions about the future economic viability of GPO unless it is authorized to sell and distribute electronic information products. The role of Congress in this includes investing the manpower and funds in the Information Technology Program (ITP) that will enable GPO to make those moves.

The ITP is the program implementing the pilot projects whereby we depositories will finally get to test the feasibility of electronic products in the 1,400 depository libraries. We have seen the first census disk. We are looking forward to the bound Congressional Record on CD-ROM and the EPA's Toxic Release Inventory. And I might note within the last month we at Davis received the first questionnaire about participating in the distribution and testing of the economic bulletin board. We responded positively and we are looking forward to see what that may mean.

At the same time there will be costs to GPO to make that transition to electronic dissemination, it is critical to maintaining their revenue stream. If they are not permitted to engage in such dissemination, then they can not continue to operate as they have. Granted the fact that there has been a recent pattern of drawing on the revolving fund, the revolving fund won't be there to draw upon.

Finally, we urge maintaining the current depository program's effective operation. We hope to see more in electronic formats. At the same time we have to continue to distribute those publications which still come on paper and fiche. The American Library Association and depositories librarians believe the program warrants more resources and higher priority within GPO for it to work effectively.

ELECTRONIC DISSEMINATION PILOT PROJECTS

Turning now specifically to the electronic dissemination issues, I have been before this committee before talking about the pilot projects.

In 1988 I mentioned that the committees had chosen to delay transferring money to begin the pilot projects pending the completion of "Informing the Nation," the OTA report. That report con-

1. **Scholarship.** Center research efforts will be built around task force projects headed by Center-affiliated scholars. Center scholarship will be distributed to the legal community through the auspices of The Administrative Law Review (one of the most circulated legal publications in the country).[2] The impetus for these projects will come from the Center's D.C.-based Board of Advisors.[3] Specifically, the Board - with the help of the Center's director - will identify separation of powers topics likely to be on the agenda in the coming year and in need of analysis. The Director - with the assistance of affiliated scholars - will then put together a small team to run the project. This team will comprise some combination of visiting scholars, William and Mary faculty, postdoctoral students, and public policy/law students. The team will then identify present and former government officials from each of the branches with whom it will work in both exploring and offering solutions to the identified problem. As part of the process, a conference on the topic attended by policymakers would be conducted under the auspices of the Center. Center affiliated scholars will then publish recommendations, which will be distributed to appropriate individuals. The Center will also file annual reports on its activities with the President of the Senate and the Speaker of the House of Representatives and with other branch representatives as appropriate.

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[2] The Administrative Law Review will be housed in the Center. Its influence is a subscription base of over 6,000 lawyers in government and private practice whose field of expertise is central to the concern of the Center for Interbranch Studies.

[3] The Board of Advisors is a group of individuals active in governmental affairs. Board members will offer different institutional (legislative, executive, judicial) and ideological (liberal, conservative) vantages. Individuals who have served on an ad-hoc Board assisting William and Mary in the development of this proposal include Mark Gitenstein (former Senate Judiciary Chief Counsel under Senator Biden), Terry Eastland (former spokesperson for the Department of Justice under Attorney General Meese), William Spong (former U.S. Senator and former dean of William and Mary's Marshall-Wythe School of Law), Alan Morrison (director of Public Citizens Litigation), and Warren Cikens (Senior Staff Member of the Advanced Studies Program, Brookings Institute).

Task force projects will offer constructive solutions to significant interbranch conflicts. Task force projects are not intended to be a panacea, however. Some areas of interbranch conflict, such as the budget deficit, are fundamentally political and not likely to benefit from extensive academic treatment. In contrast, less controversial matters, such as the current proposal to pool administrative law judges into a common independent entity, may well benefit from detailed treatment. Task force projects then will focus on topics where our findings are most likely to produce meaningful reform. Moreover, by bringing together representatives of the affected branches to participate in discussions with each other and center-affiliated scholars, task force projects promise a type of action-oriented scholarship rarely attempted by research institutes (and clearly unsuitable for legislative support organizations).

2. **Clearinghouse**. The Center will assemble the first complete collection of documents dealing with separation of powers: books, articles, congressional hearings, executive reports, court decisions, etc. These documents will be organized and subdivided into an annotated bibliography on separation of powers, available to requests received from government and the private sector. Updated regularly, it will provide an institutional memory for issues ranging from foreign affairs to the budget, appointments to removals, congressional investigations to executive privilege. The Clearinghouse Library will also be the home of the John Marshall Papers as well as the papers of James Monroe and John Tyler. Efforts are underway to add to this collection the papers of more contemporary leaders.

3. **Professional Education.** The Center will conduct seminars and conferences on questions of separated and shared powers. Executive officials, members of Congress and their staff, and members of the judiciary will be invited to study specific policy disputes and to evaluate solutions that seem most promising. Orientation programs will be available for representatives of all three branches to help them understand the scope of power given to each

of the three branches and the causes and consequences of interbranch conflict. The Center will also run a more traditional academic conference each year. These conferences will be run in conjunction with the Institute of Bill of Rights Law. Conference proceedings will be published in the William and Mary Law Review.[4]

4. **Student Education.** Numerous educational opportunities will be provided to law, graduate, and post doctorate students through the Center. Internships will be available to law and graduate public policy students. The student internship program will be national in scope. Law and public policy students from around the country with an interest and commitment toward understanding separation of powers issues will work and study at the Center. No such program exists, and we believe educating young people about this topic will yield significant benefit in coming years, as many of them enter careers in government and public service.

Postdoctoral fellows will assist Center scholars in the running of task forces. Law student members of The Administrative Law Review and The William and Mary Law Review will work with Center scholars in the editing of conference proceedings and task force projects.

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[4] The Institute is an academic foundation, under the auspices of the Marshall-Wythe School of Law at the College of William and Mary, committed to quality research and education on constitutional law. Established in 1982, the Institute has funded academic research and sponsored numerous conferences on constitutional topics. Institute workproduct has been published independently through an Institute monograph series and through an annual symposium issue of the William and Mary Law Review. These efforts include the publication of *The American Constitutional Tradition of Shared and Separated Powers*. 30 William and Mary L. Rev. 209-433 (1989). The William and Mary Law Review is an excellent forum for the publication of Center conferences. A recent study of American law reviews ranked (based on frequency of citations) William and Mary twenty-third (of over two hundred law reviews). See 65 Chicago-Kent L. Rev. 195, 204.

Existing Resources

The College of William and Mary is ideally suited to establish and operate the Center. In addition to the law school and departments of government and history, separation of powers questions are examined by the Institute of Bill of Rights Law, the Institute for Early American History and Culture, and the Public Policy Institute.

William and Mary's scholarship in the area of interbranch conflict and the separation of powers is perhaps its greatest strength. Indeed, separation of powers is my principal field of academic interest. I am coauthor of a treatise on administrative process and author of related articles in the Yale Law Journal, Columbia Law Review, University of Chicago Law Review, and Duke Law Journal. I am also a member of the Administrative Conference of the U.S. and Chair of the American Bar Association's Administrative Law and Regulatory Practice Section. In addition to myself, the principal individuals responsible for Center activities include:

Neal Devins. A professor with the Marshall-Wythe School of Law, Neal Devins has published articles on separation of powers issues in such prominent journals as the Stanford Law Review, the Duke Law Journal, the Texas Law Review, and the Columbia Law Review. He is currently working on a book which will explore the mix of judicial and nonjudicial forces that determine constitutional law.

Lawrence Evans. Professor Evans of the Government Department is a specialist in the internal operations of Congress and in congressional-executive relations. A former Research Fellow at the Brookings Institution, he has authored scholarly articles on congressional politics. He is also the author of a book on committee leadership in the Senate.

Charles Koch. Woodridge Professor with the Marshall-Wythe School of Law, Charles Koch is author of a casebook and a two volume treaties on administrative law. He is also a consultant to the Administrative Conference of the U.S. and editor of the Administrative Law Review.

Rodney Smolla. Cutler Professor and Director of the Institute of Bill of Rights Law, Professor Smolla is author of numerous books and articles on constitutional topics. His work has appeared in the Stanford Law Review, the University of Pennsylvania Law Review, the Duke Law Journal, and the University of Southern California Law Review.

Charles Hobson. Dr. Hobson is editor of the Marshall Papers and a lecturer in law and history. Dr. Hobson has just completed the sixth (of a planned twelve) volume of the Marshall Papers.

In addition to possessing the scholarly base from which to establish the Center, William and Mary is geographically convenient to Washington, D.C. Because of this proximity, Williamsburg is a popular location for convening conferences that examine public policy questions and attract officials from all three branches of government. When combined with the proposed programmatic structure, these advantages make William and Mary the ideal home for a Center for Interbranch Studies.

IV. Budget

The College of William and Mary requests $5.9 million in federal support. These monies will be used both for physical facilities to house the Center for Interbranch Studies ($2.9 million) and seed money to enable the Center to fulfil its programmatic objectives ($3 million). Ongoing operational support - beyond the seed period - will be provided by the College. The College is now in the midst of a $150 million "Campaign for the Fourth Century." A priority of this campaign will be to establish an endowment to support Center operations.

The Center will be located at the Marshall-Wythe School of Law (either as an addition to the law school building or as a free standing building adjacent to the law school). Federal construction dollars will be used for offices for Center-affiliated scholars, interns, and support staff; the clearinghouse library; the Marshall papers; the Administrative Law Review; two small conference rooms (for task force and staff meetings); a lounge; and a meeting room (for conferences). Federal programmatic dollars will be used to support the clearinghouse library's development of an annotated bibliography and other materials on separation of powers, the initial task forces, and seminars and conferences on questions of separated powers. A proposed budget is attached as Appendix A.

Construction costs to house the Center and seed programmatic support combined with William and Mary's existing resources and institutional commitment to this Center will guarantee the success of this operation.

V. Conclusion

The College of William and Mary is ideally situated to establish a Center for Interbranch Studies. Building on the scholarship and resources available at William and Mary, the Center for Interbranch Studies will examine the historical, legal, political, and institutional dimensions of separation of powers. What are the strengths of our system? What are the weaknesses? How can those weaknesses be addressed most effectively? The objective is to understand the dynamics of separated powers and, through that understanding, offer practical proposals to improve the relationships among the three branches. As this Subcommittee recognizes, there is a compelling need for thoughtful work in this area. With a one-time grant from Congress, William and Mary will address these critical needs.

Appendix A

BUDGET

Construction

1. Clearinghouse Library (5,000 sq. ft.)		
Building (offices, collection, & reading room	$500,000[*]	
Equipment	65,000	
Carpeting, Shelves, etc.	45,000	
Collection	300,000	
TOTAL		$910,000
2. John Marshall Papers (2,500 sq. ft.)		
Building (offices and collection)	$250,000	
Other	50,000	
TOTAL		$300,000
3. Administrative Law Review (2,000 sq. ft.)		
Building	$200,000	
Other	40,000	
TOTAL		$240,000
4. Institute of Bill of Rights Law (2,500 sq. ft.)		
Building (offices and work area)	$250,000	
Other	40,000	
TOTAL		$290,000

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[*] Construction figures are based on a $100 per square foot estimate. The timing and type of construction may effect this estimate.

5. Faculty Offices (1400 sq. ft.)		
Building (director (1); visiting faculty (2); full-time affiliated faculty (3))	$140,000	
Other	50,000	
TOTAL		$190,000
6. Conference and Other Rooms (3,000 sq. ft.)		
Building (lounge, meeting room, 2 conference rooms)	$300,000	
Other	60,000	
TOTAL		$360,000
7. Other offices (3,000 sq. ft.)		
Building (student interns, postdoctoral students, secretaries, administrative assistant)	$300,000	
Other	40,000	
TOTAL		$340,000
8. Other (bathrooms, hallways, lobby and other miscellaneous expenses)		$235,000
CONSTRUCTION TOTAL		$2,865,000

Programmatic (3 year seed grant)

1. Task Force Support (per year)

Salaries* (of affiliated scholars)	$315,000	
Salaries* (of staff and students)	150,000	
Honoraria	40,000	
Travel and Related Expenses	50,000	
Distribution*	80,000	
Other	50,000	
per year total	685,000	
TOTAL (3 years)		$2,055,000

2. Conferences and Workshops (per year)

Academic Conference	$ 25,000	
Williamsburg Conference for Representatives from 3 branches	40,000	
Washington Workshops	20,000	
per year total	85,000	
TOTAL (3 year)		$255,000

3. Clearinghouse Library (per year)

Salaries (librarian and assistant)	$ 75,000	
Collection Update	30,000	
Database Service	70,000	
Bibliography and "Living History"	30,000	

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[*] Rather than breaking the "salaries" and "distribution" figure into component parts (task force, conferences, etc.), all salary and distribution items are included in the task force budget.

Other	10,000	
per year total	215,000	
TOTAL (3 year)		$645,000
Programmatic Total		$2,955,000

Budget Summary

Construction	$2,865,000
Programmatic	$2,955,000
TOTAL	$5,820,000

COMPARISON OF CRS WORK AND PROPOSED CENTERS

Mr. FAZIO. I appreciate the testimony of both of you gentlemen. I am pleased that you have an interest in assisting us with our continuing and still emerging problems.

I wonder if either one of you could tell us how one would differentiate between the work that the Congressional Research Service does at the Library of Congress and the proposals that you are talking about?

Father BYRON. The mandate of the Congressional Research Service is a lot wider. We have a narrow focus. We would have independence, and that would be important in this regard. It is our vision to attract resident scholars who would be on campus close to the Congress, and also to invite former Members of Congress who have been involved in these projects who could be in residence on our campus as they work through their reflections for history and for incorporation into legal theory. It is a much narrower focus. It is independent and it is research-oriented.

Mr. FAZIO. I can't think of anyone better than Peter Rodino to be that kind of person, given the unique historic role he played.

Father BYRON. He would be a good example. The way history rolls out, there will be other persons in that kind of situation in the decades ahead.

Mr. FAZIO. Sure, several of our colleagues obviously.

Mr. VERKUIL. Certainly the Congressional Research Service is the kind of organization that already does very good work. We would hope to build upon that work, not in any way duplicate it. Our asset, I think, would be that any members of the CRS along with members of this organization and others would come together to work beyond where they can presently take the issues in their role as they can see it. I don't see any conflict at all.

DISCUSSION ON EXISTING PROGRAMS

Mr. FAZIO. I know both of you have touched on in your remarks other things you have done in this area. Do you see any of the existing programs that you support relating to Congress or other branches of the government as specifically exemplary of what we are talking about doing?

Father BYRON. Let me just say in our law school, I believe today there is something like 25 Congressional staff members who are there on a part-time basis in the evening program. If what we envision here were in place, they would be returning to their jobs more fully informed about these issues. The ongoing work of the law school would be one.

We have a master's program in Congressional studies within our Department of Politics. That program offers more of a historical and political understanding of the Congress. It doesn't get into these technical legal issues, and the theoretical issues that we have been discussing here. Some of these classes are held on Capitol Hill as well as on our campus.

We have another program at the Pentagon which is a graduate program in international affairs, again based in our Department of Politics, but reaching out to that agency.

Mr. FAZIO. On site?

Father **Byron**. Yes.

Mr. **Fazio**. You may have mentioned some, but I thought you would like to reiterate.

Mr. **Verkuil**. Our public policy master's degree which has been approved by our faculty and will be unveiled in the fall of 1991 will have a track which is contained within Congressional and executive branch relations. We would also like to have some access to the Washington scene. We have a Washington program. I may say, Mr. Chairman, occasionally you have spoken to that program, and I know you know how greatly our students are interested in what is going on here.

I can see that connection as well developing under these auspices.

POTENTIAL FOR CONSOLIDATION OF EFFORTS

Mr. **Fazio**. Listening to both of you, I am wondering if there isn't an opportunity to blend some of the strengths of both institutions. I am wondering if the way you describe these concepts doesn't offer the chance for further discussions between the two institutions. You should be able to in fiscal terms reinforce each other's strengths. I am wondering what comments you might have in that regard?

Father **Byron**. We would be open to that. I was thinking as President Verkuil was talking about the distance, we have the proximity and we could lend the advantages of that proximity to scholars and students who would like to have an observation post closer to that target of observation. They would be more than welcome to participate in the programs and to use the facilities.

We also, I think—I use the term "oriented." I think our approach is more practical in the application of these new understandings to the realities of day-to-day life here. Given the history, purpose and as was described, the more historical and deeper theoretical observations of these theories would be exploited. The short answer to your question is we would be amenable to cooperation, amenable——

Mr. **Verkuil**. I would second that. If we are going to ask to study interbranch relations, we ought to be willing to study inter-university relations. This would be very appealing to us as well.

Mr. **Fazio**. You could benefit to some degree from the proximity of the facilities at Catholic. They could benefit from a distant perspective on the capital city, stepping back 300 years.

Mr. **Verkuil**. Thank you, that is right. We are on the verge of our 300th anniversary in 1993.

NEED FOR PLAN OUT FUNDING REQUIREMENTS

Mr. **Fazio**. Well, we appreciate the interest that both of you gentlemen and the institutions have shown. I would urge you to work together to see what sort of joint proposal might be possible. The committee would need to have some feedback from you within the next couple of weeks, certainly a month. I hope some communication is possible in that time frame.

We need to know also what kind of budget plan would be required in both institutions. I think we have heard a little more specificity from Catholic University.

Also, what sort of views you have in terms of not only up front costs, but the ongoing costs that might be required, not that this subcommittee can take on additional obligations. We are interested in knowing the annual requirements as well as periodic recurring requirements. Obviously we are more interested in investment in something we would benefit from over time and not as much ongoing commitment, given the many other commitments that we have with the Congress and other legislative branch agencies.

Mr. **Verkuil.** Certainly.

Mr. **Fazio.** We look forward to hearing from you in the next month or so and getting more detail. We want to thank you for the comments today and renewing your friendship with Mrs. Boggs and saying hello to all the other members of the committee. Nice to have you. Thank you.

GOVERNMENT PRINTING OFFICE

AMERICAN LIBRARY ASSOCIATION

WITNESS

KATHERINE F. MAWDSLEY, ASSOCIATE UNIVERSITY LIBRARIAN FOR PUBLIC SERVICES, UNIVERSITY OF CALIFORNIA, DAVIS

Mr. **Fazio.** I would now like to proceed to Kate Mawdsley, Associate University Librarian for Public Services at U.C. Davis. She is representing the American Library Association regarding the Government Printing Office budget.

Take license. You are a constituent of mine. I want to say it publicly so everyone is aware of why I am letting you go over your allotment of five minutes.

SUPPORT OF GPO BUDGET

Ms. **Mawdsley.** With any luck, in my preliminary remarks, I wouldn't, and then we can open up for questions.

It is a pleasure to be back here as a constituent and a representative of the American Library Association. The American Library Association is here in support of the 1991 appropriations for the Depository Library Program to support the distribution of electronic information through the program and to sustain the current distribution of paper and microfiche. We support the Public Printer's 1991 budget request for $27,900,000, an increase which includes $3,700,000 for the distribution of publications from the 1990 Decennial Census and the distribution of the Bound Congressional Record in paper format.

As you know, we are moving our government documents in six weeks into a major addition to the Davis Library. We will move 50 shelves of unbound daily paper Congressional Record which we had to keep while we were waiting for the bound. The distribution of the bound volumes is not quite soon enough, but it is awfully good news. When you come see us next, when we are in the new buildcluded that information technologies had a lot of promise to achieve the goals and intent of the depository program to enhance access to government information.

In May of 1989 you approved starting pilot projects. I mentioned their current state. It is early days yet, and we are waiting to find out what impact electronic formats will have.

Given the delay in the implementation of the projects, it is difficult to see the reason for the recent introduction of H.R. 3849, the Government Printing Office Improvement Act of 1990, which includes, among some provisions that we see as highly useful, a provision which seems to permit requiring payment by users and/or depositories for information services, which are not specifically defined in the bill.

We have waited for the OTA report before we proceeded to authorize the pilot projects. Now we seriously urge waiting to see the results of the pilot projects in terms of feasibility and cost effectiveness of both forms of electronic distribution before moving to change the law to institute fees for depository materials.

We hope that this Committee will direct GPO to evaluate the cost savings implications of CD-ROM and see whether those funds saved could be transferred to supporting electronic services and provide a more balanced program of enhanced access without necessarily making great additional demands on the appropriations process.

The fact is we don't know yet. We are looking forward to finding out. We hope that the General Accounting Office, which is assisting GPO in its evaluation, will be considering the cost tradeoff factors and the possibility of cost shifting within the agency as well as this, frankly, very unwelcome change in the commitment of the government to support the provision of the materials to the depositories.

We are concerned, and this is a struggle that libraries have gone through one way or another for my entire professional career, about instituting fees, especially and primarily and fundamentally for government information. Government information, regardless of format, would be available in this program only to those who can pay for it. That is a kind of inequity that was quite counter to the original purpose of establishing the depository program in the 19th Century.

We view it as a serious move, albeit, in the language of the bill, a very tentative one. We think that there are alternatives which we should explore before we take that fatal step.

CONTRIBUTIONS OF DEPOSITORY LIBRARIES

I have made the point to you in writing, to Ed Lombard in writing, and to Congressman Bates that depository libraries already contribute substantially to the total cost of the depository program. The American Library Association, assisted by the Association of Research Libraries, is collecting statistics. I have attached to my statement, the preliminary data.

They show that 39 reporting regionals and 43 selective depositories identified direct costs totaling almost $21 million, $20,875,000, which is more than the $19,900,000 that is GPO's depository library program budget in this fiscal year. These are incomplete data from about only 9 percent of the total number of 1,400 depositories. However, they are among the largest and most active.

These figures include only direct and easily identifiable costs. The costs I submitted don't include physical plant costs because I don't know what they are. We are not recharged those. I do know that we are spending a heck of a lot to build our new depository library space. When I took our square footage and did some arithmetic, the space for Federal documents that we keep in the department, not counting the more than half of them that we distribute to our other libraries, will be at least $2,885,000.

The Chicago Public Library is building some new space and its space cost will be $5.5 million. If we were buying new equipment for microforms and microcomputers, which we are not, I would probably be spending $26,000 for those, another $15,000 for reader printers, $55,000 for our microform cases and $16,000 for our map cases. Chicago thinks it will cost $500,000 to equip its documents unit in 1991.

I could go on with this, but I think the point is clear. Depository libraries have spent, continue to spend, and are very willing to spend very substantial sums to help Congress fulfill its responsibility to inform the public. We believe we are doing our share.

ACCOMPLISHMENTS CITED

Now a couple of happy stories. We are very pleased that GPO and JCP have begun development plans to distribute the final bound edition of the Congressional Record on CD-ROM. It will be great to see how that would work. We are also pleased there is progress in the adoption of a policy on permanent paper. The Senate resolution passed; the House resolution is pending. You have given direction to GPO to pursue the use of alkaline paper. We regard a number of our documents as permanent and valuable resources for scholarship.

If I can stick in a personal plea, *Federal Relations in the United States*, Department of State series, is another of those critically important long-time series which right now is held up in bound distribution and is permanently valuable to our political, law, and related fields. That is a good candidate for permanent paper and paper distribution.

I thank you, Mr. Chairman, for the opportunity to be here today. I would be happy to respond to any questions.

[The statement of Ms. Mawdsley follows:]

Statement of

Katherine F. Mawdsley
Associate University Librarian for Public Services
University of California at Davis

before the
Subcommittee on Legislative Appropriations
of the
House Committee on Appropriations

on the
FY 1991 Appropriations for the Government Printing Office

February 8, 1990

Mr. Chairman, Committee Members, I am Katherine Mawdsley, Head of Public Services at the University of California, Davis, General Library. It is a privilege to be here today representing the American Library Association. The American Library Association is a nonprofit educational organization of 50,000 librarians, library trustees, and friends of libraries dedicated to the improvement of library and information services for all people.

The American Library Association urges FY 1991 appropriations for the depository library program at a level which will support the distribution of electronic information through the Depository Library Program of the Government Printing Office, and sustain the current distribution of paper and microfiche. Thus, we support the Acting Public Printer's FY 1991 budget request for $27,900,000 for the Salaries and Expenses Appropriation of the Superintendent of Documents. ALA supports the requested increase of approximately $3,700,000 over FY 1990 appropriations because these funds are needed for the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries in 1991, and for the distribution of the bound Congressional Record in paper format to depository libraries.

For 15 years, I was a documents librarian on the Davis campus in Congressman Fazio's district. You visited our library several years ago to see a heavily used depository collection. The Government Documents Department will occupy the entire lower level of a major new wing of the Shields Library to be opened in early April, and formally dedicated in the fall. We look forward to showing you the new space.

I would like to discuss three topics with the Subcommittee today:

o The need for strong Congressional commitment to retain no-fee access to government information for users in depository libraries;

o The role of GPO in the dissemination of government information; and

o The significant amount of cost sharing by depository libraries in making government information accessible to the public.

Strong Congressional Commitment to No-fee Access Needed

As you may recall, I testified before this Subcommittee two years ago. At that time, I was concerned at the delay in implementing the pilot projects to test depository library distribution of government information in electronic formats. In 1987, both the House and Senate passed over, without prejudice, GPO's request to transfer monies from its revolving fund to begin the pilots, pending the completion of the Office of Technology Assessment report, Informing the Nation. That report, not published until late in 1988, concluded that information technologies hold the promise of helping to achieve the original goals and intent of the depository program through enhanced access to government information. In May 1989, GPO received Congressional approval to start the five pilot projects--three products and two online services. The two online pilots are in an early stage--no cost data is available from them. Our library has applied to participate in one of these projects, the Commerce Economic Bulletin Board. We are eager to see what we learn.

Very recently, the "Government Printing Office Improvement Act of 1990," HR 3849, was introduced and referred to the Committee on House Administration.

This bill provides, for the first time, for user fees by the public to use government information in depository libraries. The bill clearly seems to permit requiring payment by users and/or depositories for "information services," which are not specifically defined. We suspect that "services" refers to online access not included in a revision of the definition of "government publication" proposed in HR 3849. The proposed definition refers to an "information product" published "in any tangible format, medium, or substrate."

Given the delays in the implementation of the pilots, I believe it unwise for Congress to consider initiating user charges for depository access to services absent cost data from the pilots. It also seems short-sighted to make separate provisions for access to information products and services while the pilot projects are testing the utility, feasibility, and cost-effectiveness of different modes of access for electronic information. More fundamentally, we are alarmed at the reference to direct payment by the user of government information through the Depository Library Program specifically established by Congress to ensure no-fee, geographically dispersed access to government information. Such a provision abrogates the most basic principles of the depository program. These changes to current law would mean that only affluent users and well-supported libraries will have access to online government databases.

That government information, regardless of format, would be available only to those who can pay for it is the kind of inequity Congress sought to eliminate when it established the Depository Library Program in the 19th century. We urge this Subcommittee to fund GPO at a level to support the dissemination of electronic information through the Depository Library Program.

The Role of GPO in the Dissemination of Government Information

GPO and the entire federal government are at a critical juncture regarding dissemination of government information. Informing the Nation detailed the rapid introduction of electronic information technologies and systems into all aspects of ongoing agency programs and concluded that this trend will escalate in the next few years. As you know, the library community has been concerned about the future economic viability of GPO unless the agency is authorized to sell and distribute electronic information products and services, as the number of such products and services of government continues to rise. What can the Subcommittee and other Committees of Congress do to improve public access to government information through GPO?

1. Invest more manpower and funds in the Information Technology Program. This program is implementing the pilot projects to test the economic feasibility of providing electronic products and services to the nation's nearly 1,400, Congressionally designated depository libraries. Pilots will provide public access to the bound Congressional Record, Census statistical data, and the Environmental Protection Agency's Toxic Release Inventory in CD-ROM (compact disk-read only memory); and two online databases, the Economic Bulletin Board and one from the Department of Energy.

2. Fund GPO to make the transition to electronic dissemination. While it is clear that constraints must be placed on many agency programs, it is also clear that an investment in current programs is critical to GPO's future financial viability. Appendix A illustrates the severe constraints GPO has operated under for the past six years. ALA urges this Subcommittee to reverse this budgetary trend. We also observe that the recent pattern of drawing on the GPO revolving fund can only be a short-term solution. Given the anticipated decline in GPO's revenues if the agency is not permitted to engage

in dissemination of electronic information, the revolving fund cannot sustain repeated use in this manner.

3. Maintain effective operations of the current depository program.

Simultaneous with the transition to an integrated electronic GPO and depository program, attention must be given to maintaining effective operations for the current Superintendent of Documents program. The Depository Library Program warrants more resources and higher priority within GPO for it to function effectively.

Depository Library Cost Sharing

I have already discussed our concern about HR 3849, which would permit agreements for cost-sharing "contributions" from service users and depository libraries, among others. All depository libraries already contribute substantially to the total cost of the program as their share of this cooperative effort with the federal government. Preliminary data collected by the American Library Association, and attached to my statement, show that 39 regional depositories and 43 selectives identify direct costs totaling $20,875,485--more than the $19,905,000 for GPO's depository library distribution in FY 1990. Note that these are incomplete data from only about 6 percent of the total number of nearly 1,400 depositories--although they are some of the largest and most active.

UC Davis figures, for example, do not include costs for physical plant expenses--heat, electricity, etc. But construction and equipment figures for our building project and that of the Harold Washington Library Center in Chicago provide additional strong evidence of the high level of cost sharing by depositories. The new space for federal documents at Davis will cost us at least $2,885,000; Chicago estimates its space costs at $5,512,500. Our new stacks will cost about $90,000. If we were buying all new microform and microcomputer equipment, my estimates for a minimal configuration are: terminals and microcomputers, $26,000; microform readers and reader/printers, $15,500; microform cases, $55,000; map cases, $16,000. Chicago estimates its equipment costs in 1991 as $500,000. Our CD-ROM stations cost $4,300 each; we may spend up to $2,000 per year per station for paper and printer cartridges. We spend $760 per year per machine for reader/printer maintenance contracts.

Obviously, I could go on, but the point is clear. Depository libraries are spending very substantial sums to help Congress fulfill its responsibility to inform the public on the policies and programs of the federal government. We believe we are doing our share.

I would like to tell the Subcommittee how pleased we are that GPO and the Joint Committee on Printing have begun development and plans to distribute the final bound edition of the Congressional Record on CD-ROM. I am also pleased to report that progress has been made on the adoption of a national policy on permanent papers. Last July, the Senate passed S.J.Res. 57, to establish a national policy to promote the use of permanent, alkaline papers. A hearing will be held on the House companion, H.J.Res. 226, on February 21. We deeply appreciate the direction given to GPO in the report on the FY 1990 Legislative Branch Appropriations to aggressively pursue the usage of alkaline, low acid-content paper for its in-house and commercially procured printing.

Thank you, Mr. Chairman and Members of this Subcommittee, for permitting me to share our views with you today.

Attachments: Appendix A. GPO Budget History
Appendix B. Questionnaire Results, Regional Depository Libraries
Appendix C. Questionnaire Results, Selective Depository Libraries

APPENDIX A

GPO Budget History

Using figures provided in the Appendix of the Budget of the U.S. Government, the following numbers describe the pattern of funding request for the GPO Superintendent of Documents--Salaries and Expenses, and the amount ultimately appropriated. (In some years, the final figure was the result of across-the-board sequester of federal funds.) These figures include support for the Depository Library Program.

GPO Superintendent of Documents

FY	Budget Request	Appropriation
85	$29,747,000	$28,868,000
86	28,835,000	24,993,000 (after sequester)
87	27,835,000	23,763,000
88	26,500,000	24,662,000
89	26,800,000	25,155,000
90	25,500,000	24,214,000
91	27,900,000	?

- Since FY 85, the Congressional appropriation dropped by more than 16 percent from $28,868,000 to $24,214,000.
- The funds supporting the Depository Library Program in FY 1990 are $4,654,000 less than six years ago!

If a modest 4 percent annual inflation factor is added, the picture gets worse. The following indicates where the Superintendent of Documents appropriation would be if inflation had been added.

Using $28,868,000 in FY 85 as a base, the following six years' budgeting would have resulted in the following appropriations:

FY 86	$30,023,000
FY 87	31,023,000
FY 88	32,473,000
FY 89	33,772,000
FY 90	35,123,000
FY 91	36,527,000

The Superintendent of Documents' appropriation is more than $12 million below the level needed for the program just to keep pace with current operations.

APPENDIX B

REGIONALS

QUESTIONNAIRE RESULTS
EXPENDITURES
FALL, 1989 SURVEY

The following table represents approximate expenditures for Regional Depository Libraries answering the questionnaire. There are thirty-nine responding depositories listed, but not all included complete information, either because of the time limits or the lack of necessary data. Some depository collections are spread throughout the library, and accounting and budgetary processes do not break out the costs. Totals in this table represent answers to questions on a) annual equipment cost; b) annual staff costs; c) annual bibliographic and/or processing access costs; d) annual acquisition costs; e) annual inter-library loan costs; f) annual telephone and other telecommunications costs; g) annual supply costs; h) other costs.

Library/State		Total Annual Cost
U. of Alabama	Tuscaloosa, ALA	$ 205,159
AZ Dept. Library	Phoenix, AZ	302,632
Calif. State Lib.	Sacramento, CA	419,058
Univ. of Colorado	Boulder, CO	334,679
Conn. State Lib.	Hartford,CT	312,800
Univ. of Fla.	Gainesville,FL	239,250
U. of Ga. Libs.	Athens, GA	266,028
Univ. Hawaii	Honolulu,HI	270,445
Univ. Idaho	Moscow, ID	98,030
Il. State Lib.	Springfield, IL	248,000
U. of Kans.	Lawrence, KS	205,617
U. of Ky. Lib.	Lexington, KY	277,294
La. State U.	Baton Rouge, LA	200,238
La. Tech. U.	Ruston, LA	108,822
Univ. of Maine	Orono, ME	170,500
Univ. of Md.	College Park, MD	566,950
Boston Public Lib.	Boston, MA	497,935
Lib. of Michigan	Lansing, MI	350,817
Univ. of Minn.	Minneapolis, MN	265,955
Univ. of Miss.	University, MS	238,931
Univ. of Mo	Columbia, MO	140,648
Univ. of Montana	Missoula, MT	107,927
Univ. of Nebraska	Lincoln, NE	140,827
Univ. of Nevada	Reno, NV	241,616
Newark Pub. Lib.	Newark, NJ	199,950
U. of N.Mexico	Albuquerque, NM	313,143
NY State Lib.	Albany, NY	302,935
U. of N.C.	Chapel Hill, NC	125,530
State Lib. of Ohio	Columbus, OH	229,290
Ok. St. U. Lib.	Stillwater, OK	353,304
Ok. Dept. of Libs.	Oklahoma Cty, OK	181,368
Portland St. Univ.	Portland, OR	110,000+
Clemson Univ. Lib.	Clemson, SC	186,367
Memphis St. Univ.	Memphis, TN	173,805
Tx. Tech U. Lib.	Lubbock, TX	295,805
Utah State U. Lib.	Logan, UTAH	175,852
U. of Virginia Lib.	Charlottesville, VA	179,986
WA St. Lib.	Olympia, WA	120,813
Wyoming St. Lib.	Cheyenne, WY	110,754
TOTAL..............................		$ 9,269,060

SELECTIVE

QUESTIONNAIRE RESULTS
EXPENDITURES
FALL, 1989 SURVEY

The following table represents approximate expenditures for Selective Depository Libraries answering the questionnaire. There are forty-three responding libraries listed, but not all included complete information, either because of the time limits or no data was available on the question. Some collections are spread throughout the library, and accounting and budgetary processes do not break out the costs. In the case of these libraries, different amounts of government documents are collected, hence the term selective. Totals in this table represent answers to questions on a) annual equipment cost; b) annual staff costs; c) annual bibliographic and/or processing access costs; d) annual acquisition costs; e) annual inter-library loan costs; f) annual telephone and other telecommunications costs; g) annual supply costs; h) other costs. Not all libraries are able to provide physical plant costs, and those costs are not included in the totals.

Library/State		Total Annual Cost	% Docs. Selected
AZ. State Univ. Lib.	Tempe, AZ	$ 201,343	95
Univ. of AZ Lib.	Tuscon, AZ	391,011	90
U.C. Berkeley,	Berkeley, CA	373,200	-
U.C. Davis	Davis, CA	354,651	75-80
U.C. Irvine	Irvine, CA	449,954	65
U.C. Riverside	Riverside, CA	282,527	-
Stanford U. Libs.	Stanford, CA	304,360	63
Yale Univ. Lib.	New Haven, CT	257,328	-
Univ. of Conn at Storrs	Storrs, CT	221,400	85
Georgetown Univ.	Washington, D.C.	104,328	45
Univ. of Miami	Coral Gables, FL	225,519	81
Florida State	Tallahassee, FL	171,353	90
S. Illinois Univ. Lib.	Carbondalle, IL	80,584	85
Chicago Public Lib.	Chicago, IL	879,700	97
Northwestern Univ. Lib.	Evanston, IL	238,067	78
Univ. Ill. at Urbana	Urbana, IL	352,015	90
Indiana Univ. Lib.	Bloomington, IN	175,636	84
Ball St. Univ.	Muncie, IN	121,954	45
Ind. Univ. SE	New Albany, IN	23,974	-
Univ. of Notre Dame	Notre Dame, IN	103,621	65
Johns Hopkins Univ.	Baltimore, MD	182,128	60
Univ. of Mass	Amherst, MA	224,542	85
Widener Lib. Harvard	Cambridge, MA	503,651	70
MIT	Cambridge, MA	162,000	50
Univ. of Michigan Lib.	Ann Arbor, MI	470,482	79
Wash. Univ.	St. Louis, MO	100,489	49
SUNY at Albany	Albany, NY	101,761	47
SUNY at Buffalo	Buffalo, NY	311,133	90
SUNY at Stony Brook	Stony Brook, NY	262,200	78
Univ. of Rochester	Rochester, NY	226,545	-
Rutgers Univ. Libs (4)	New Brunswick, NJ	461,059	differs
Univ. of Cincinnati	Cincinnati, OH	197,874	92
Univ. of Oregon	Eugene, OR	233,675	-
Temple Univ.	Philadelphia, PA	160,678	58
Penn. St.	University Pk, PA	369,200	84

Library/State		Total Annual Cost	% Selected
Univ. Tenn. at Knoxville	Knoxville, TN	$ 148,100	90
Univ. Texas at Austin (3)	Austin, TX	642,584	55 avg.
Texas A & M	College St, TX	356,721	85
Univ. of Houston	Houston, TX	66,120	72
Rice Univ.	Houston, TX	130,928	30
VPI	Blacksburg, VA	247,545	70
Washington State Univ.	Pullman, WA	388,168	-
Univ. of Washington	Seattle, WA	246,317	83
	TOTAL	$ 11,606,425	

The following comments were received as a part of the Survey Questionnaire, and are included to demonstrate the wide range of users and types of information available through the Regional and Selective Depository systems.

Bracken Library, Ball State Univ., Muncie, In.--"Government documents are heavily used in college class assignments. . . . If our library was not a depository, it is doubtful that we could afford to purchase the wide selection that our patrons require. We serve surrounding non-depository libraries as well and circulate to any resident of Indiana." From the map librarian: --". . .The wealth of U.S. map collections is directly due to depository programs by federal agencies. U.S. Geological Survey, Army Map Service USGS, DMA and National Ocean Service, as well as Library of Congress Summer Map Processing Projects are all available through the depository program."

Univ. of Massachusetts, Amherst: "During the report year our staff answered approximately 6,000 reference questions, oriented 500 students and faculty to the arrangement of materials and contents of the collections; loaned 3,600 items for home use and provided another 10,000 for use in the library."

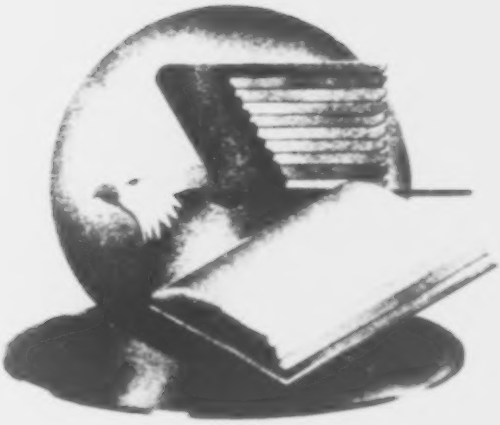
U. of Calif. at Davis: "In our expanded building, now under construction, documents reference, processing and collection space (not counting documents processed for other collections) will be more than 16,299 net square feet. This includes a portion of the maps and microcopy collections, since each of those includes a substantial component of federal document material."

U. of Calif. at Irvine: ". . . is located in a growing high technology area. We are the largest research library in the vicinity. Approximately 60% of the 32,500 annual users of the Government Publications and Microforms Dept. are from the general public. The most frequently requested types of information from the off-campus users include statistics (demographics and economics); environmental (air, water, hazardous waste), laws, regulations and reports, and patents and trademarks."

Boston Public Library, MA: "The use of government documents is often combined with the use of related material from other departments of the Library. Each enhances the other. Without the richness of our documents collection, our ability to provide in-depth resources would be seriously jeopardized and our effectiveness in providing information to the public would be compromised.

The Information Banks With
The Highest Public Interest

U.S. DEPOSITORY LIBRARIES



Government Documents Round Table
American Library Association

*QUESTION: What do the following people have in common?**

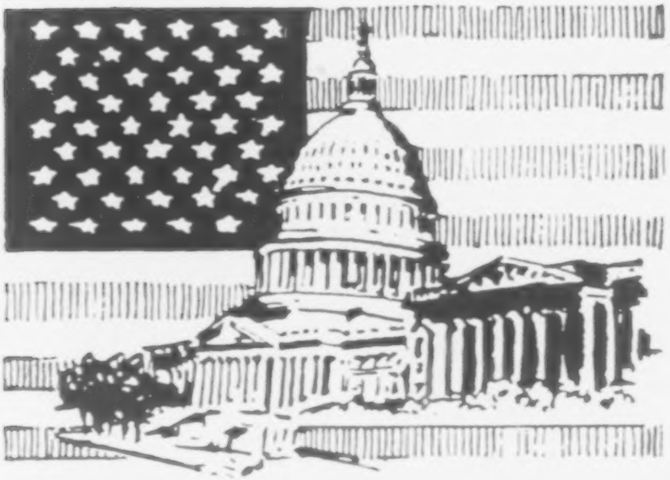
- A high school guidance counselor in Santa Fe, New Mexico who needs to know how to combat the use of "crack" cocaine among students.
- A farmer in Tidewater Virginia who notices that the fish in his farm pond are dying for no apparent reason.
- An exporter of computer software in Los Angeles, California who needs the latest information on trade reform legislation.
- A bio-medical research scientist at a Maryland university who is seeking a vaccine and treatment for acquired immune deficiency syndrome (AIDS).
- A resident of rural Oregon who wants to know how to get better television reception from his backyard satellite dish.
- A police chief in Nebraska who needs to know the latest on field training of police officers.
- An office manager in Boston who is concerned with what to do about "white-collar" crime.

ANSWER: All of their questions could be answered from government information and publications recently issued and still available at no cost to the public.

THE DEPOSITORY LIBRARY SYSTEM

The United States government is one of the most prolific and eclectic publishers in the world. The wealth of research, knowledge and information produced by all branches of the federal government is a valuable, incomparable national resource. This resource is widely distributed and shared free of additional cost to all of the citizens of the United States through a unique system of Depository Libraries.

There are some 1400 of these congressionally designated Depository Libraries located throughout the United States and its territories, serving citizens from Guam to the Virgin Islands. These depositories are located in congressionally



designated academic, law and public libraries that deliver documents directly to the people of the United States. The number and scope of those documents has grown over the years, so that presently some 25,000 new publications are issued each year—ranging from *The Congressional Record* to *Family Life Skills: Training for Drug Abuse Prevention.*

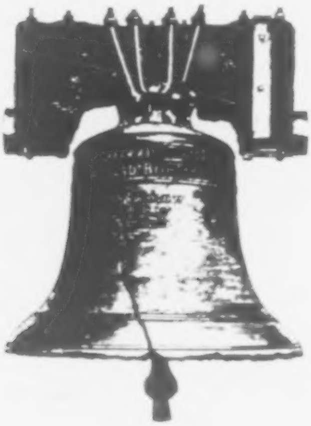
The full range of publications covers practical information, scientific reports—everything from an environmental impact statement to a photographic essay on the American West. The research, publication and distribution of these documents are all made possible through the tax dollars collected from the citizens.

Government information and publications are a valuable and tangible example of the distribution of the wealth of America. The information readily available in the Depository Libraries belongs to the people. It is through these libraries that citizens are able to watch over their government, safeguarding their individual rights and freedom while they enhance and protect their personal lives and property.

DEPOSITORY LIBRARIES AND THE AMERICAN SPIRIT

Americans have traditionally held the values of **independence, self-sufficiency, free enterprise and the right to govern themselves.** "Do-it-yourself" is a firmly based philosophy in the American character. It is in the service of this entrepreneurial and pioneering spirit that Depository Libraries find their value and justification.

Abraham Lincoln passionately championed self-government, believing "in all that the people can individually do as well for themselves, government ought not to interfere."[1] But Mr. Lincoln also believed that there is a time when government must provide resources and services for the people. He wrote: "The legitimate object of government, is to do for a community of people, whatever they need to have done, but can not do, *at all,* or can not, *so well do,* for themselves—in their separate and individual capacities."[2]



There is no way in which the people can do for themselves what the Depository Library System does. It provides the people with the cost-free information they need to know in order to govern themselves and to ensure political and personal independence. But, as with any other important investment, the Depository Library System must be prudently managed, guarding against market forces which would diminish its value and equity.

GODORT AND THE DEPOSITORY LIBRARIES

Although these libraries are called "depositories," they are not inert, passive warehouses. They are vital national and state treasuries of intellectual capital. Much of the vigor and usefulness of the depository libraries stem from the librarians and technicians who work to bring "**documents to the people.**" Many of these individuals responsible for providing the services of depository libraries are members of the Government Documents Roundtable of the American Library Association. This organization, familiarly known as **GODORT**, has over 1,300 personal and institutional members who have joined together in common cause to carry out their stated mission:

> The Government Documents Roundtable (GODORT) of ALA is dedicated to the principle of open and equitable access to government information. GODORT believes such access to information by and about government is a cornerstone of a democratic society. It is incumbent upon democratic governments to disseminate to their citizenry information compiled, collected and produced by government; and to enable individual citizens to use government information.[3]

This brochure has been produced and distributed by **GODORT**, in order to inform the members of the general public of the vast information resources freely available to them, so that they may use and benefit from the U.S. Depository System.

GODORT, SERVING IN THE PUBLIC INTEREST!

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1. Abraham Lincoln, "The Legitimate Object of Government," (July 1, 1854) in *The Political Thought of Abraham Lincoln*, ed. Richard N. Current (New York: Bobbs-Merrill Co., Inc., 1967), p. 325.

2. Ibid.

3. "Interim Report, Strategic Planning for the Government Documents Roundtable," *Documents to the People* 14, no. 3 (September 1986): 118.

BUDGET REDUCTIONS DUE TO EFFCIENCIES AT GPO

Mr. FAZIO. Thank you. I guess it would be appropriate to point out that when GPO was in last week they indicated that about 60 percent of their paper is now acid free. We are making great progress. Perhaps Joe Jenifer, the Acting Public Printer, is here today.

I am not sure though, because the room is so crowded. It is likely that people from GPO are interested in your testimony, and we may get some comments. It is important to point out that the reductions in the GPO budget which you outlined in your submitted testimony reflect the permanent savings, which have come about for a variety of reasons. They really have not cut into the depository program.

Rather, they are the kinds of efficiencies that most of us support, and I hope there is no carryover into this program that we both feel so strongly about. The use of microfiche, certainly has provided a cost savings that has been very significant, and of course, as you can see, even GPO's budget requests have been going down to reflect that kind of internal savings.

I know there are some serious delays in distribution. I don't think they are rooted in the budget inadequacies.

Ms. MAWDSLEY. The first time I talked to you, and we were in an ante-chamber in another office we were talking about delays caused by the contract difficulties. What I hear more recently is those fiche are flooding in, and they would like some more staff to handle it.

I think you are correct, Mr. Chairman, certainly in pointing out that there have been cost savings in things like postage, certainly in costs of paper and so forth. And we recognize those, the Depository Library Council has supported them.

If microfiche has permited a reduction in paper and postage, just think what CD-ROM will do. Some of those savings should not necessarily be reflected in cuts, but may instead be able to support some of the alternative distributions or some increasing distributions.

As I was getting ready to leave Friday night, Linda Hoffmann, slipped under my door, an announcement of the Bureau of the Census Foreign Trade statistics, a very critical series heavily used by business people as well as, in our case, faculty in economics and other high demand fields studying aspects of foreign trade. And Census has just announced that those statistics will be available on a CD-ROM.

When I came to see you three years ago one of the things I brought was an 18-month-old Foreign Trade fiche which had just been distributed. The Census Bureau is offering monthly distribution. How great if that CD-ROM could get into the program. The price for a year's subscription is $1,200.

DIFFICULTIES ENCOUNTERED IN LEGISLATIVE BILL

Mr. FAZIO. Well, one of the things that we are hoping that this reauthorization of Title 44 will do is smoke out the various contributions on all sides of the issue, and I am very open to your points about the amount of money that is flowing this way from the libraries that aren't part of the system.

We don't want to underestimate the contributions that you are making, but I think this Committee has forwarded to the House Administration Committee the feeling that we require some burden sharing. The costs are going up, at least for a while, before savings will begin to accrue, and you are aware of the difficulty that we have had in funding the GPO or the Library for these enhancements.

We are not finding it very easy to take bills out on the Floor that increase spending in the Legislative Branch for whatever reason. It is necessary for the Committee to sort out all of these pluses and minuses on the issues before the bill is reported out. The beneficiaries, of course, are the American people but as in almost every area of public service, the various levels of government will debate at length what their contribution ought to be.

Ms. MAWDSLEY. And that is part of the process, that is perfectly reasonable.

Mr. FAZIO. Until recently, this has evolved without thorough analysis or oversight.

Ms. MAWDSLEY. In the questionnaire inquiring about our interest in the Economic Bulletin Board pilot project, and it went to all depositories, I'm sure, the statement occurs that participants pay the line charges. Coming from California that has cost implication.

We have said we are perfectly happy to pay the line charges. I have also said to our documents librarian, there is a limit on the amount we can spend. There was a further question about willingness to pay for the database access, with a list of possible rates.

It is one thing to help support a pilot project, we are gathering data. It becomes something very different in an ongoing mode, and if we can find that there are cost savings in other parts of the program that can transfer over, then you have helped us, and really what you have done is helped the people who need access to the data.

I was interested in Congressman Hamilton's comment about the importance of getting good bases for statistics and then applying them, and my marginal note to myself was "and then disseminating them", and that is where depository libraries come in.

Mr. FAZIO. Mrs. Boggs, do you have any questions or comments?

Mrs. BOGGS. No, thank you, Mr. Chairman. I want to thank our chairman and for the remarkable way the depository library has performed. Mr. Chairman, I am due at the same hearing that Mr. Myers is attending, if I may be excused.

Mr. FAZIO. Yes, you may. Say hello to all my friends. I don't think I will make it to that same hearing myself. Anyway, Kate, thank you very much for your oversight in this hearing. You have been a constant observer of our process and therefore you have much to contribute when you come annually or contact me in between hearings.

Ms. MAWDSLEY. And you will come see us in October when we dedicate the new space?

Mr. FAZIO. I will. Give me some advance warning on the date, and I will be there.

Ms. MAWDSLEY. As soon as we can.

LIBRARY OF CONGRESS

CONGRESSIONAL RESEARCH EMPLOYEES ASSOCIATION

WITNESSES

DENNIS M. ROTH, PRESIDENT

MICHAEL WATERHOUSE, VICE PRESIDENT, CHIEF STEWARD

Mr. FAZIO. Now, on to issues relating to the Library of Congress, which I believe, is the reason there is such a great interest in today's hearings. First, we will hear from Dennis M. Roth, President of the Congressional Research Employees Association.

Dennis has been observing our hearings and now it is his chance to testify.

Mr. ROTH. Thank you, Mr. Chairman.

With me today is Michael Waterhouse, the Vice President and Chief Steward of the Congressional Research Employees Association, Local 75 of the International Federation of Professional and Technical Engineers. I welcome this opportunity to meet with you once again.

Mr. Chairman, I know you work closely with our sister Local 111 out in Vallejo, California, and hope we can develop a similar relationship. The Congressional Research Employees Association is the exclusive representative of all employees of the Congressional Research Service and has a membership rate of nearly 70 percent, even under the conditions of an open shop.

On behalf of our membership, I would like to thank the Members of the Subcommittee for supporting the extension of basic civil rights protection and minimum wage and overtime protection to our colleagues in the House. These are important first steps to bring the congressional employees under the nation's discrimination and labor laws.

CRS BUDGET SUBMISSION

As Director Ross noted in his budget submission, congressional requests to the service increased 13 percent since 1987. Yet, the number of staff available to answer this increased workload decreased by 5 percent. Almost 90 cents of every dollar you appropriate to CRS goes to staff salaries and benefits.

Thus, when CRS receives minimal increases in its appropriation, vacancies must go unfilled. Just think of the impact on your own personal office or your committee staff if you were not able to replace them. When I observed the hearings on Monday with Dr. Billington, Mr. Yates made the comment that every time he calls the library he gets what he wants.

I am sure he is referring to the services of CRS. A lot of this is due to what you might refer to as free labor. Many staff come early in the morning, leave late at night, come in on the weekends, all without requesting pay because of their dedicated service to the Congress.

CREA is especially pleased to see in the budget proposal a request to convert to permanent status, non-staff currently supported by temporary and special funding. I have pointed out in my previous appearances before this committee the misuse of temporary and not to exceed appointments in CRS. This request, I hope, is the first of many that will lead to the elimination of this problem.

I am also happy to report to the subcommittee that CREA and CRS successfully negotiated an affirmative action plan last summer. This is just opposite from what I had to tell you last time. I strongly support Director Ross' request for increased funds for staff recognition and development.

As he so correctly notes our current level of funding for these activities, and I quote, "is inconsistent with our dependence on staff as our most important resource," end of quote. A significant proportion of current staff joined CRS during its rapid growth in the 1970's.

Because of their high caliber, many have reached the top of their career ladders, yet much of their outstanding work goes unrecognized. While I support recognition and any appropriate awards, they must be handed out equitably and judiciously.

The evidence is that the current mechanisms do not do this. Therefore, I would recommend that a joint labor or management committee be established to review this awards process and be partners in the final decision-making regarding award recipients.

Additional funds for staff development has also been one of CREA's major concerns over the past several years. Our staff must keep up with new research and new technology. We believe that face-to-face contact is one of the most efficient ways of achieving this. This means more funds for attendance at meetings and seminars and other types of training activities. Over the past several years, analysts who attend such events did so primarily at their own expense.

SES PAY STATUS

Not mentioned in the CRS budget submission is a pending request for its upper level management, senior executive, or SES pay status.

I find this request highly inappropriate and very disturbing. First, the individuals who are proposed to receive SES are not program managers nor would they have significant policy-making responsibilities.

Second, the CRS request is for pay levels only, without the checks and balances. That is the evaluations and recertification, and I know under the ethics law that you worked so hard on last session had recertification as one of its major components.

This is unfair to everyone else in the organization who is subject to annual review and appropriate action.

Mr. Fazio. That, of course, was agreed to with the involvement and ultimate approval of the career executive service employees, so there is a good provision for give and take before those issues are resolved. It was not the original OPM proposal.

Mr. Roth. Third, as long as we have lower graded not to exceed and temporary positions that are consistently refilled, we do not need to adopt a higher pay system for our highest paid employees.

Fourth, as long as research and analyst positions remain vacant because of inadequate funding, how can we increase the expenditures on salary and benefits. We estimate and it is a conservative estimate that if we win SES beginning in calendar year 1991, it would take about an additional half million dollars.

As you know, this year we got about $1.3 million, so that would be a hefty chunk that would have to come out for what would become mandatories. Finally, last December staff were requested to save money from non-personal accounts. How could we be asked to save even more for the benefit of top level CRS managers. The CREA membership is greatly disturbed that CRS has this pending request.

EQUAL EMPLOYMENT AND AFFIRMATIVE ACTION

Working in the areas of equal employment opportunity and affirmative action has been one of my greatest enjoyments and my biggest disappointments over the past year.

Last April, the three labor unions and library management joined together to establish an experimental EEO dispute resolution team. The team had several objectives. Among these to reduce the backlog in EEO complaints, to examine the nature of the complaints for the purpose of proposing remedies, to develop a new complaints process, and to open up an avenue for staff to air disputes with management.

This pilot was worked well and much has been learned about the problems of library staff and management. My experience with the development of an affirmative action plan for the library, however, has been one of frustration and disappointment.

Labor and management jointly developed a plan by the end of last summer. It was not until three months later, however, that management presented the final plan to the unions for negotiation, and unfortunately without consultation with a team that had worked so hard to develop it.

I am glad to report, however, that because of my raising this issue in the budget testimony, the team met with this week and had a chance to air their concerns and now they are trying to iron out some of the differences. I am also pleased to announce that the private staff development internship program, which I noted had not been implemented became effective this past Monday morning. It is only sad that it takes my budget testimony to see these things become real.

ENVIRONMENTAL CONCERNS

By the summer of this year we should have the recommendations from the National Institute for Occupational Safety and Health or NIOSH on how to correct the air quality related problems in the Madison Building.

Our concern is where will the funds come from to make the necessary corrections. We ask that when you look over the library's budget and the budget for the Architect of the Capitol that you see that they plan for these types of changes that will be recommend by NIOSH.

Waiting until fiscal year 1982 is too late to ask for money to start making these corrections. We also have a major safety problem that be request your assistance. A recent survey last October found that in 58 percent of the fire zones in the Madison Building, the fire alarm did not work. In these same zones 71 percent of the P.A. systems did not work.

When you combine the P.A. system and the fire alarm not working in the same area, 44 percent of these areas had no type of warning whatsoever. I am sure if we were in a public building we would probably be closed by the Fire Marshall.

Mr. FAZIO. I thought you were in a public building.

Mr. ROTH. Private sector building.

CHILD DAY CARE FACILITIES

Mr. FAZIO. Your point is still well-taken.

Mr. ROTH. I understand you have been working with the librarian in trying to secure a nearby off-site facility in which, among other things, will be housed a day care center.

Mr. FAZIO. The reason we are sensitive to that is due to testimony from your group and others, including AFSCME that have been coming before us for a number of years, so take some credit for that sensitivity.

Mr. ROTH. As you know from your recent debates on this issue before Congress as a whole, day care has become a necessary area than a luxury. Aiding the Library in this endeavor will demonstrate Congress' concern for day care in a very positive way.

It is my understanding that this facility should also benefit your staff, which has a backlog in its own or a long waiting list in its own day care facilities. In times of salary increases below the level of inflation, an increase in the fringe benefits available is an indication to the library staff, including those of CRS, that you do care and appreciate our work.

It is my hope that CREA and CRS can negotiate and implement a compressed work week plan in the not too distant future. I raise this issue because in your appropriations language you normally exclude managers above the level of a GS-14.

I ask that if we are successful in negotiating such a plan you exclude CRS, at least initially to see if it works out. As I pointed out earlier, I believe CRS staff, including this management, are responsible and consider their service to Congress of the highest priority.

One might conclude on the basis of my testimony that CRS is not a good place to work. This would be too strong of a conclusion. CRS tries to be a good examiner, but we feel there is still a lot of room for improvement. The biggest problem, I feel, is in the attitude of management towards staff.

For a professional organization, there is too much of a parent-child type of relationship. I say, you do. We are trying to correct this by negotiating a program of consultative management for CRS. We expect success.

We also have affirmative action and upward mobility problems. As I mentioned earlier, we have had some modest improvement with the former, but little has been done with respect to the latter. We need to have funds so we can build bridges, so good employees can advance from one occupation to another.

This concludes my testimony. Mr. Waterhouse would like to take just a couple minutes say a few things. I am from the analytical part of CRS. Mr. Waterhouse is from the research part. There are a few things he would like to say. After that we would be happy to answer any questions. Thank you.

[The statement of Mr. Ross follows:]

Congressional Research
Employees Association
IFPTE, Local 75

Library of Congress • 101 Independence Avenue, S.E. • CRS-LM 412 • Washington, D.C. 20540
(202) [illegible]-7636

Witness List

Congressional Research Employees Association (CREA)
Local 75, International Federation of Professional and Technical Engineers

Dennis M. Roth, President

Michael D. Waterhouse, Vice President

Statement of Dennis M. Roth, President
Congressional Research Employees Association
before
the House Appropriations Committee
the Subcommittee on Legislative Branch Appropriations

February 8, 1990

Mr. Chairman and members of the Subcommittee:

As President of the Congressional Research Employees Association, Local 75 of the International Federation of Professional and Technical Engineers, I welcome this opportunity to meet with you once again to present our analysis of the 1991 budget request for the Library of Congress, with particular emphasis on the Congressional Research Service. The Congressional Research Employees Association is the exclusive representative of all employees of the Congressional Research Service and has a membership rate of nearly 70 percent.

Recognition of Rights of House Employees

On behalf of our membership, I would like to thank the members of the Subcommittee for supporting the extension of some very important labor rights to our colleagues in the House. The provision of basic civil rights protection under the Fair Employment Practices Resolution and minimum wage and overtime protection under the Fair Labor Standards Act are important first steps to bring Congressional employees under the Nation's discrimination and labor laws.

The CRS Budget Request

The Congressional Research Service has been, and continues to be, an integral adjunct to the Congress because of the knowledge, skills, and abilities of its staff. Without their ability to keep the Congress informed on almost any issue, to translate research into political applications, and to know how and where to find information on just about any topic, the Congress would find it extremely more difficult to carry out its legislative and representative functions. This subcommittee knows particularly well the uniqueness of CRS staff as it called upon members of our American Law and Government Divisions to assist in the development of the ethics legislation that passed in the 1st session.

Almost 90 cents of every dollar you appropriate to CRS goes to staff salaries and benefits; thus, when CRS is made to absorb pay raises, face a GRH sequestration, and receive almost no increase in its appropriation, vacancies go unfilled. Just think what the impact on your personal office would be if you could not replace staff who leave; especially staff with a particular expertise.

As Director Ross noted in his budget submission, your requests to the Service **increased** 13 % since 1987; yet, the number of staff available to answer this increased workload **decreased** by 5 %. Nevertheless, the dedicated staff at CRS have continued to respond to your needs. But accepting added responsibilities has its downside; the quality of work will decline and the staff will become frustrated and disgruntled because they want to do their best but cannot do so on a consistent basis due to the heavy workload.

In the budget submission, the Director has listed the areas where our capabilities are extremely thin; we strongly support his request to fill vacancies in this area. At the same time, however, we strongly encourage you to require CRS to fill these positions at the real "entry level." Last year I noted that CRS, at that time, considered GS-11 to be entry. Our professional series job ladders begin at the GS-5 level; therefore, GS-11 is not close to entry level. While I recognize that **some** of the requested positions will have to be filled at the GS-11 level, others could be and should be filled at the GS-9 level. Remember, CRS rewards good work and an individual's advancement can be rapid if he or she performs well.

CREA is especially pleased to see in the FY 1991 budget proposal a request to convert to permanent status 9 staff currently supported by Special and Temporary funding. As I have stated in my previous appearances before this subcommittee, too many staff in CRS are making their careers out of a string of temporary and not to exceed appointments. As of the end of 1989, 14.5 percent of nonsupervisory staff (87 out of 600) were in a temporary or not to exceed status. I am currently negotiating with CRS to reduce this proportion; we are very close to resolving this problem with one group of employees; this budget request is a necessary first step to allow the conversion process to continue.

I am also happy to report to the subcommittee that CREA and CRS successfully negotiated an affirmative action plan last summer. This is the first such plan CREA has been able to negotiate in its nearly 15 year -

existence. Over the past six months CRS has posted three affirmative action positions -- one with a career ladder up to a GS-9 and two with career ladders up to a GS-12. Nevertheless, we remain disappointed with the Graduate Recruit Program. One primary concern is the inability of highly qualified **existing CRS staff** to be able to be selected for the program. We strongly feel that there is bias against CRS staff who apply for these positions. This is true not only of this program but most vacancies that occur in CRS.

Director Ross has also requested funds for staff recognition and development. As he so correctly notes, our current level of funding for these activities "is inconsistent with our dependence on staff as our most important resource." A significant proportion of current staff joined CRS during its rapid growth during the 1970's. Because of their high caliber, many have reached the top of their career ladders. Yet, much of their outstanding work goes unrecognized. While I support recognition and any appropriate awards, they must be handed out equitably and judiciously. The major problems with the existing system are selection and subjectivity. I raise this because putting additional funds into the existing system may not achieve the objective stated by the Library's Management and Planning Committee on which this request is based. I would recommend that a joint labor/management committee be established to review the awards process and be partners in the final decision-making regarding award recipients.

Additional funds for staff development has been one of CREA's major concerns over the past several years. Earlier I noted that one of CRS's major functions to the Congress is the translation of research so it can be used in the legislative and representative process. Our staff must keep up not only with new research, but with new technology that allows this research to reach you more effectively and efficiently. This cannot always be done by reading a book or article, or by a phone conversation. Face to face to contact is also needed and the most efficient and effective way of achieving this is through attendance at meetings and seminars. Over the past several years, analysts who attended such events did so primarily at their own expense. Additional funding is clearly needed so that we can better fulfill our mission to you.

Not mentioned in the CRS budget submission is its pending request before the House Administration Committee and the House Post Office and Civil Service Committee for Senior Executive Service (SES) pay status. I find this request highly inappropriate and very disturbing for several reasons. First, the SES is for **managers** who administer programs at the top level. Only the Director, and perhaps the Deputy Director, of CRS meet this criterion. Senior Specialists, for whom the linkage is sought, **are** considered by CRS to be managers because they supervise a secretary and research assistant. Senior Specialists do not manage nor significantly influence any programs. Furthermore, they do not meet another SES criterion of carrying out significant policy-making responsibilities. Thus, Senior Specialists do not belong in the SES.

Second, granting SES status without the checks and balances, i.e., evaluations and recertification, is unfair to everyone else in the organization who is subject to annual review and appropriate action. Third, as long as we have lower-graded NTE and temporary positions that are consistently refilled, we do not need to adopt a higher pay system. Fourth, as long as research and analyst positions remain vacant because of inadequate funding, how can we increase our expenditures on salaries and benefits? Lastly, how can CRS staff who are being requested to save money from nonpersonal accounts be asked to do so even more so that top level CRS managers can have a higher salary level. The CREA membership is greatly disturbed that CRS has made this request.

In summary, the positions for which CRS is requesting SES status do not meet the established criteria; nor, given the current budget situation do they make common sense. Therefore, I ask you to reject any effort by CRS to come under the SES system.

Equal Employment Opportunity and Affirmative Action in LC

Working in the areas of equal employment opportunity and affirmative action has been one of my greatest enjoyments and biggest disappointments over the past year. Last April, the three labor unions and Library management joined together to establish an experimental EEO/Dispute Resolution Team. The team had several objectives, among these were: (1) to reduce the significant backlog of EEO complaints; (2) to examine the nature of complaints in the system for the purpose of proposing remedies; (3) to develop a new EEO Complaints process; and (4) to open up an avenue for staff to air their disputes with management. This pilot, focusing primarily on Library Management Services, has worked well and much has been learned about the problems of Library staff and management.

As a result of my experience, I proposed a similar panel for CRS last summer and a separate Dispute Resolution Pilot with CRS was established in September. We have only recently dealt with our first case. It is, therefore, too early to judge its success or failure in CRS.

My experience with the development of an Affirmative Action Plan for the Library, however, has been one of frustration and disappointment. Early in 1989 a Special Projects Team was established to develop a multi-year affirmative action plan for the Library of Congress. Each of the labor unions had a representative on the team and, at the request of the Librarian, their report was concluded in late August or early September. The CREA representative was quite satisfied with the team's findings, although some dissatisfaction remained on how to calculate underrepresentation.

It was not until three months later, however, that management presented the final plan to the unions for negotiation. And even though management had made some changes from the Team's proposal, the Team was never consulted about the final report even though there had been requests to do so. This is unfortunate because there are several key omissions in the proposal and the team itself feels that it has not been treated fairly.

As you review the Library's "Justification of Estimates" book for FY 1991, I challenge you to find any request for implementation of an Affirmative Action Plan. I suspect that the reason for this is that the Library still does not know what it wants to do and it is this that bothers me the most. While there has been an attempt to identify grade disparities within the Library on the basis of race and sex, there is only a statement of intent to identify underrepresentation in each Service Unit. This is not adequate. The Affirmative Action Plan proposal does not include any program for developing the talent already in the Library; it focuses totally on recruitment. While there is a program for managerial development, it appears that it is limited to those who are already managers. At this point, it is clear that the

Affirmative Action package that CREA and CRS negotiated last summer is far superior to what is being proposed by the Library.

Furthermore, you approved in your FY 1990 Appropriations for the Library funds for four positions for the Pilot Staff Development Internship. When I voiced my support for the pilot this time last year, I noted that I had not yet seen the particulars of the program. I still haven't and this is because no such program exists. Perhaps now you see why the labor organizations in the Library are very skeptical about proposals made by the Library regarding affirmative action; even those programs for which the Library has been given funding are inactive.

Human Resource Needs

In my earlier appearances before this Subcommittee, I requested your support regarding the air quality in the Madison Building and for an onsite day care center. By the summer of this year we should have the recommendations from the National Institute for Occupational Safety and Health (NIOSH) on how to correct the air quality related problems in the Madison Building. Our concern is where will the funds come from to make the necessary corrections? We do not see any planning for this in the Library's budget and we fear that the same will be true in the budget for the Architect of the Capitol. We cannot wait until fiscal year 1992 to begin to improve the air quality in the Madison building.

I also understand that you have been working with the Librarian in trying to secure a nearby offsite facility in which, among other things, will be housed a day care center. As you know from your recent debates on this issue, day care has become a necessity and is no longer a luxury. Aiding the

Library in this endeavor will demonstrate Congress' concern for day care in a very positive way. It is my understanding that this facility should benefit your staff as well as that of the Library. Furthermore, in times of salary increases below the level of inflation, an increase in the fringe benefits available is an indication to Library staff, including those of CRS, that you do care and appreciate their work.

Compressed Workweek for CRS

Last year I discussed with you CREA's proposal for a compressed workweek experiment in CRS. Since then, three research divisions have experimented with compflex and two are scheduled to do so later this year. In addition, one section is currently trying compflex. The results of the experiments have been positive, and we seek your continued support when we develop a plan for all divisions in CRS. The main reason I raise this issue, however, is because of a mandate that has appeared in our appropriations reports over the past several years that prohibits managers above the GS-14 level from participating in any Library compflex program. CREA requests that this prohibition not apply to CRS. It was not our managers who abused the program that led to your decision to exclude them. CRS staff are responsible and consider their service to the Congress their highest priority.

Summary

One might conclude, on the basis of my testimony, that the Congressional Research Service is not a good place to work. This would be too strong of a conclusion. CRS basically is a good employer, but could improve markedly. The biggest problem, I believe, is the attitude of management toward staff. For a professional organization there is too much of a parent/child type of relationship; I say, you do. Much of the dissatisfaction that exists with CRS management has to do with poor communication and consultation. Staff are all concerned with getting the job done as effectively and efficiently as possible. The problem is that we are not consulted when changes are being considered even though we do the work on a daily basis and have a lot to offer on how to correct problems or improve the work flow.

We also have affirmative action and upward mobility problems. While some modest improvement has been realized with the former, little has been done with respect to the latter. Unlike earlier times, individuals get stuck in their positions because there is no attempt to build bridges from one occupation to another.

Finally, CRS has not been sensitive enough to the problems of its lower-graded staff. Many of these individuals feel uncomfortable in dealing directly with management; management does not give these employees enough credit to help solve problems or make suggestions. I hope, that through our efforts to establish consultative management throughout CRS, these artificial barriers will be broken down.

Mr. **Fazio**. I am not sure we will have time for many questions, but you may proceed.

Mr. **Waterhouse**. Thank you, Mr. Chairman.

I appreciate the opportunity. Coming from the reference division of CRS, I just have four quick points to address which affect some of our concerns on both the CRS and the library budget.

The first area of concern is that we feel that the staffing levels should better reflect the increasing sophistication and quantity of requests that come in from Congress, the congressional inquiries, to the best extent possible.

Secondly, we feel that the acquisition of printed and automated resources to keep our quality of response at the high level should be maintained at their current levels, and thirdly, we believe that there should be care in the planning and workings out of the considered program on arrearages so that that problem is addressed in the fashion for cataloging that the current quality of cataloging is maintained.

This essentially is an access to resources problems, and that the future manageability of access to these collections through the diminishing of the arrearages not be compromised through expedited cataloging purposes.

Fourth, and finally, that the funding for employee assistance programs in this area of substance abuse problems in this day and age should be kept at least at its current levels, as they are currently funded, and would hope that there might be room in the budget for increasing the support area within the Library of Congress.

Thank you, Mr. Chairman.

Mr. **Fazio**. Thank you both. We appreciate your testimony. There is some valuable material included in it. Thank you.

AMERICAN LIBRARY ASSOCIATION AND ASSOCIATION OF RESEARCH LIBRARIES

WITNESS

JOSEPH A. BOISSE, UNIVERSITY LIBRARIAN, UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Mr. **Fazio**. I would now like to go to Joseph Boisse, the Library of U.C. Santa Barbara, representing the American Library Association and the Association of Research Libraries.

Mr. **Boisse**. Thank you, Mr. Chairman. It is a pleasure to be here. I had hoped that Mrs. Boggs would still be here because I was going to mention—I will mention it anyhow, that I am probably the only person in the room who has ever ridden on a float with Mrs. Boggs.

Mr. **Fazio**. Oh, really? Jan, will you pass that along? Tell Mrs. Boggs one of her fellow floaters was in.

Where was this? Are you originally from New Orleans?

Mr. **Boisse**. No, I am not, but two years ago the American Library Association met in New Orleans as part of the all conference reception. There was a mini Mardi Gras parade, and the former Speaker of the House, Mr. O'Neill and Mrs. Boggs were in that parade, and I and a number of my elected colleagues in the association were with that, so that was the circumstance.

ALA AND ARL SUPPORT LIBRARY BUDGET

Mr. FAZIO. Great timing. Go ahead.

Mr. BOISSE. I am the university librarian at the University of California at Santa Barbara. I am appearing today on behalf of both the American Library Association and the Association of Research Libraries. ALA is a non-profit educational organization with a membership of 50,000, including librarians, trustees, and other friends of libraries.

The Association of Research Libraries is an association of 119 major research libraries throughout the country. I am also the immediate past President of the Association of College and Research Libraries, the largest division of the American Library Association, and finally I serve on both the Committee on Legislation of the American Library Association and the Committee on Government Policies of the Association of Research Libraries.

Both ALA and ARL support the Library of Congress budget request for fiscal 1991. As you are aware from our annual visits to the subcommittee, L.C. operations are essential to the services of all types of libraries nationwide. Both associations are also aware that this is not an ordinary budget request, but during the past few years the budget for the Library of Congress has increased at a rather low rate.

In fact, it has been really negative growth. There has been no growth if one takes into account inflation, and this has had a very significant and deleterious effect on library services nationwide.

WEST AFRICAN OFFICE

I will not go through the rest of my written testimony, but would like to make comments on four areas in particular. First, in the area of foreign acquisitions, there seems to be unanimous agreement among the memberships of the organizations that a West African site is extremely important because the materials from that part of the world are very difficult to come by. So we want to express that support at this time.

Mr. FAZIO. Is that the West African site?

Mr. BOISSE. The West African acquisition site. There is virtual unanimous agreement on that one.

Mr. FAZIO. As opposed to some others?

Mr. BOISSE. There is disagreement in the other area, and neither association is prepared to take a stance at this time.

CATALOGING AND ARREARAGES

Mr. FAZIO. Thank you.

Mr. BOISSE. Neither am I personally. Another area I would like to address is the area of cataloging in arrearages because I know that there has been considerable discussion on that topic. Cataloging at the Library of Congress is important to libraries nationwide. Indeed, it is extremely important.

As has been explained in the Library of Congress testimony, libraries nationwide really, to some extent, on work done at the Library of Congress to save money, that is, we try not to duplicate work that has been done elsewhere. In recent years, however, there has been a very significant decrease in the amount of material logged at the Library.

The University of Michigan pointed out in a recent document that during the past three years, I am quoting from their document, "During the past three years, we have seen the volume of L.C. cataloging available to us decrease from 70 percent to 55 percent at the time of cataloging of our new acquisitions.

If unchecked, it will create a real crisis within the library community, since resources are not available locally to replicate what the Library of Congress is doing. If you couple that with the enormous arrearage problem that the Library of Congress has, clearly we are dealing with a problem of intense magnitude.

For instance, at my institution three years ago we were given a very large collection by the Institute for the Study of American Religions. This is a collection which deals primarily with religions, which had their beginnings here in this country and covers a very good range of cults, and the material came to us uncataloged and as we were trying to deal with this situation we did a survey and found out that fully half of the 30 some thousand volume collection was in neither of the major bibliographic utilities, which tends to indicate that the Library of Congress hasn't cataloged that data. And so we have here a situation where the material is not available, not only to our faculty and students, but essentially is not available nationally.

I know that the enormity of the arrearage problem at the Library Congress, especially when you add a dollar figure to it, has made people have second thoughts about the value of doing that. I believe that for the most part, or we believe that for the most part the materials represented in the arrearage are important to scholarship in this country.

COOPERATIVE EFFORT THROUGH LIBRARIES

What I would like to suggest is that the Library establish a blue ribbon commission, a commission with representation from the library organizations throughout the country as well as from scholarly organizations that this group would work with the library in two areas, one in establishing the priorities that have to be established in the arrearage, and secondly in developing strategies which will provide for the most efficient cataloging of that information.

I think I can say with some certainty that the libraries of the United States are prepared to cooperate with the Library of Congress and to work together to make sure that that material became available to people throughout the country.

Mr. Fazio. We spent a great deal of time on this in the hearing on the Library of Congress the other day. I am just becoming aware of the number of other libraries that are doing similar cataloging, and I think with the pilot projects the Library is embarking on, will present a good opportunity to make headway on the arrearage problem, but it will take a lot of time and money.

NATIONAL RESEARCH AND EDUCATION NETWORK

Mr. BOISSE. It should be a cooperative project. There are libraries throughout the country prepared to work with L.C. on this. In the area of, what is it, the national research and education network, I want to heartily endorse the proposal which is in the Library's budget and again point out that libraries nationwide are prepared to work with the Library in implementing this.

I would like to give one example of how ultimately this system could work for the advantage of students and scholars throughout the country. At the University of California, Santa Barbara, we have for the past two decades collected satellite imagery. This is in support of programs and geography and various disciplines on campus.

We have been very fortunate that in one way or another we have been able to acquire most of the material at little or no cost. At the present time that collection is the largest collection of this remote-sensed imagery in any academic institution in the country.

It is wonderful for our faculty and students, but it is not readily or easily available to people on other campuses or at other libraries throughout the country. Currently, the technology exists for taking a map or an image, say from a satellite and transforming that image into digital data which can be transmitted over telephone lines or over some kind of network.

If we had a national research and education network in place specifically for researching and education, it would be possible for us to use this collection and to transmit that information upon request to other institutions throughout the country. Other institutions can't begin to build that kind of a collection.

One satellite image can cost as much as $180 or $200, so it is not the kind of thing libraries can go about easily. It is a very important area, and the national research and education network would be very usable.

USER FEES AND REVENUE GENERATION

The last area I wanted to talk about briefly is the area of user fees and revenue generation. We wish to note a point of concern, as the Subcommittee and the Library seeks sources of revenue in addition to appropriated funds. The recent experience with the proposal to license L.C. mark distribution service data files has educated the library community and others with the needs for additional revenue at L.C.

We don't deny that that is a need. This experience, however, also underscores how carefully such revenue-generating proposals must be considered and the necessity to permit the community at large to review these proposals prior to the their introduction.

This caution applies also to the Library's proposal in the December 1 report on processed arrearages to investigate commercial processing of collections in return for exclusive reproduction rights. That is a very disturbing notion that is included in that report, and I want to point that out to the committee.

The information infrastructure built by research libraries to support scholarly research and extending to networks among all sizes and types of libraries is based on cooperative programs and collective efforts between and among libraries, including the Library of Congress. Many of the current projects, as well as long-term plans for L.C. are dependent upon partnerships with others in the library community if they are to succeed.

I guess what I am saying is that we support the request for the Library of Congress and at the same time we urge that in certain areas, out of the ordinary steps be taken to create cooperative activities between the Library of Congress and other libraries in the country. I would be happy to answer any questions which you have.

Mr. FAZIO. Thank you very much for your testimony. It has been quite thorough, and I think we have picked up most of your points. I appreciate your joining us. Thank you.

Mr. BOISSE. Thank you.

[The statement of Mr. Boisse follows:]

Statement of

Joseph A. Boisse, University Librarian
University of California, Santa Barbara

on behalf of the
American Library Association
and the
Association of Research Libraries

before the
Subcommittee on Legislative Appropriations
House Committee on Appropriations

on the
FY 1991 Appropriations for the Library of Congress

February 8, 1990

I am Joseph Boisse, University Librarian at the University of California, Santa Barbara. I am appearing today on behalf of the American Library Association and the Association of Research Libraries. ALA is a nonprofit educational organization of 50,000 librarians, library trustees, and other friends of libraries. ARL is an association of 119 major research libraries. I am the Immediate Past President of the Association of College and Research Libraries, a division of ALA. I also serve as a member of both the ALA Committee on Legislation and the ARL Committee on Government Policies.

Both ALA and ARL support the Library of Congress budget request of $326,499,000 for FY 1991. As you are aware from our annual visits before this Subcommittee, LC operations are essential to the services of all types of libraries nationwide. Both associations are aware that this is not an ordinary budget request. The increase over the $267,056,000 available in FY 1990 is 22 percent. However, we believe the Library's ability to serve well as a leading national library has been significantly eroded over the past several years.

As the Librarian of Congress has pointed out, LC's budget has increased less than 14 percent over the last six years. Sequestrations, other across-the-board cuts, and need to absorb mandated federal salary increases have caused severe staffing shortages and curtailed services. Meanwhile, comparable national cultural institutions in Washington have received increases in federal appropriations of 38 to 68 percent. One of the themes in the President's budget is "Preserving America's Heritage," including support of such cultural institutions. The President's budget notes that America is a nation of immigrants and we must preserve the thinking, arts, and science of their homelands. The Library's request is in that spirit.

In the interest of brevity, our testimony will concentrate on certain critical areas involving the interaction among LC, the nation's libraries, and library users everywhere--cataloging and arrearage issues, outreach and cooperative efforts, the proposed National Research and Education Network, and the issue of user fees and revenue generation.

Cataloging and Arrearage Issues

My colleagues at the University of Michigan have noted one consequence if further erosion of the national bibliographic infrastructure continues:

> ...bibliographic records from LC have been made available to all types of libraries in the U.S. These libraries have used the records in support of local processing, to contain costs by removing unnecessarily repetitive cataloging at each institution. This has enabled their original cataloging staff also to catalog materials not handled by LC.
>
> During the past three years, we have seen the volume of LC cataloging copy available to us decrease from 70% to the present 55% at the time of cataloging our new receipts....If unchecked, it will create a crisis within the library community since resources are not available locally to replicate the cataloging expertise resident at LC.

LC's inventory of more than 38 million items in unprocessed arrearages is truly staggering. The solution, however, must be a cooperative one. It is encouraging that LC has proposed a multifaceted approach to dealing with the escalating arrearage problem. We support the Library's goal of reducing the growing backlog and, in particular, endorse the adoption of more efficient processing systems, the utilization of bibliographic utilities for cataloging data, and the targeting of specific categories of information for priority cataloging.

The combination of these three key approaches could lead to the desired goal of a more cost-effective program for the Library. As all cataloging programs could benefit from these approaches, it is important to apply these practices beyond the arrearage backlog. By so doing, the Library could tackle the annual 4.8 percent increase in arrearages. The extent of the backlog, in addition to the annual increase, presents the Library with an opportunity to examine future choices for all cataloging programs and practices. We encourage the Library and the Subcommittee to support such an examination in the upcoming February 1990 plan and ensuing reports to Congress.

Outreach and Cooperative Efforts

More than 46,000 people in my state use the recorded and braille materials from LC's National Library Service for the Blind and Physically Handicapped, according to the California State Library. Recent cuts are eroding this crucial service, resulting in shortages of special equipment and cutting book production. Even before the cuts, NLS could produce only 2,200 of 55,000 print titles published, or only 4 percent of the reading materials available to sighted individuals.

ALA and ARL strongly support the continuation and expansion of the current pilot project in which 14 libraries across the country are connected to LC's bibliographic and other databases. Reactions have been enthusiastic, as the comments attached to my statement attest.

We also support the continued development of the American Memory project, in which select LC collections will be shared with libraries and schools around the country. A recent survey showed high interest among libraries in serving as experimental sites.

Another method of sharing LC collections is the traveling exhibit, "To Make All Laws: The Congress of the United States 1789-1989," now touring 30 public and state libraries across the country. LC cooperated with the American Library Association which received a grant from the National Endowment for the Humanities to cover the expenses of shipping, insuring, developing support materials, and supplying multiple copies of brochures and posters.

The exhibit will arrive at the New Orleans Public Library in October, and the timing is expected to draw the attention of the public to Congress shortly before congressional elections. The New Orleans exhibit also will serve as a starting point for local programming and exhibits. Group visits by adults and school children will be scheduled; a study group will be guided by a local university professor; local reading lists and storytelling programs will be developed; and materials from the Louisiana collection and federal documents collection, contemporary with the early Congresses, will be displayed. The NOPL representative to the July 1989 LC Educators' Institute to Study the U.S. Congress was most enthusiastic about the institute, and the programming possibilities connected with the exhibit.

Proposed National Research and Education Network

As the Subcommittee is aware, we are in the midst of an information explosion-- 1,000 books are published internationally each day; 9,600 different periodicals are published annually in the U.S.; and the total of all printed knowledge doubles every eight years. No library or educational institution can keep pace with nor afford to acquire this amount of information. Yet, scholars and researchers require access to this information to perform research and to create new knowledge, which in turn fuels local, state, regional, and national economies.

The advent of information technologies has afforded us new opportunities to access geographically distributed information resources. The combination of information technologies and carefully constructed collaborative efforts among libraries permit institutions to "access" information resources nationally and internationally in lieu of "owning" these resources. This trend away from ownership and towards access will increase as new technologies promise even more sophisticated resource sharing programs. We are seeing this occur with today's networking capabilities such as the Internet.

Access to information resources between and among all libraries, including the Library of Congress, will be advanced by the proposed National Research and Education Network. This sharing of and access to information resources is one important goal of the NREN and will be an important avenue to make the LC's resources available to a broader audience.

Another important benefit of the proposed NREN is the flexibility afforded to libraries in how to invest scarce resources. With the ability to plan for greater resource sharing, institutions such as the Library of Congress can target those areas demanding increased attention and resources.

User Fees and Revenue Generation

We wish to note a point of concern as the Subcommittee and the Library seek sources of revenue in addition to appropriated funds. The recent experience with the proposal to license LC MARC Distribution Service datafiles has educated the library community and others with the need for additional revenue at LC. This experience also underscores how carefully such revenue-generating proposals must be considered, and the necessity to permit the community-at-large to review these proposals prior to introduction. This caution applies also to the Library's proposal (in the December 1 report on unprocessed arrearages) to investigate commercial processing of collections in return for exclusive reproduction rights.

The information infrastructure, built by research libraries to support scholarly research, and extending to networks among all sizes and types of libraries, is based on cooperative programs and collective efforts between and among libraries, including the Library of Congress. Many of the current projects as well as long-term plans for LC are dependent upon partnerships with others in the library community if they are to succeed.

Proposals for new or increased fees for LC services and products must not become a barrier to equitable access to information or constitute excessive cost recovery. Public dollars initially supported the development of these services and products. Libraries face severe economic pressures. Shifting costs from LC to other libraries will result in an erosion of service to users, loss of efficiency of operations, and public dismay. We urge the Members of the Subcommittee to consider revenue-generating proposals carefully with these thoughts in mind.

Thank you for this opportunity to appear before the Subcommittee. ALA and ARL strongly urge your approval of LC's catch-up budget so that the Library of Congress can continue to be a library for the nation as well as for Congress.

ATTACHMENTS: ALA and ARL Statements on LC Licensing Agreement
Reactions of Participants in LC Dial-up Access Pilot Project

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ALA STATEMENT ON LIBRARY OF CONGRESS LICENSING AGREEMENT

Approved by the American Library Association Executive Board
November 2, 1989

The American Library Association opposes the licensing agreement recently proposed by the Library of Congress for its bibliographic databases and welcomes the Library's decision to delay its implementation. ALA's deep concern about the licensing proposal reflects the following observations:

- The Library of Congress is, in the words of the ALA Federal Legislative Policy, "the foundation upon which any program of national library service must be based." LC is the keystone of a complex system of shared bibliographic records and cooperative efforts to describe, locate, and preserve library resources for efficient and effective use.

- The licensing agreement would have resulted in inappropriate restrictions on the use of government information produced at taxpaper expense. The Association has long opposed copyright and copyright-like controls for works of the U.S. Government.

- The MARC Distribution Service records the Library sought to license are cooperative products which contain bibliographic records contributed by other U.S. libraries.

- Enlighted federal policy should encourage dissemination of government information at the lowest possible cost and should encourage further use and enhancements to government data.

ALA understands the budgetary pressures forcing all federal agencies to examine ways to cut costs, but urges caution and consultation on any actions by our foremost national library which have the potential to damage the cooperative, often fragile, structure of library interdependence.

The Association has long and forcefully supported and encouraged the Library's national functions, its need for sufficient funding, and its leadership in many areas. ALA offers to work with the Library of Congress to explore "options available for assuring the continued viability of these valuable distribution services."

ASSOCIATION OF RESEARCH LIBRARIES

ARL STATEMENT ON LC LICENSING AGREEMENT

Research libraries through international, cooperative systems of shared bibliographic records and collaborative efforts in developing and preserving collections have collectively built an information infrastructure that supports and enhances scholars' access to vast but geographically distributed research resources.

The continuing effectiveness of the information infrastructure depends on the strong working relationships among research libraries, including the Library of Congress, as well as on balancing the interests of the individual institutions against collective goals.

The recent action by the Library of Congress to license the use of MARC Distribution Service records undermines the implicit agreement among research libraries and threatens the delicate balance of mutual interdependency.

Therefore, ARL members welcome LC's decision to delay implementation of the licensing agreement. ARL is pleased to learn that LC is willing to work with ARL in "reevaluating the options available for assuring the continued viability of these valuable distribution services."

It is the sense of the ARL membership that:

1. ARL reaffirms its commitment to the six principles for government information in electronic format adopted by the membership in May 1988.

These principles are:

- The open exchange of public information should be protected.
- Federal policy should support the integrity and preservation of government electronic databases.
- Copyright should not be applied to U.S. government information.
- Diversity of sources of access to U.S. government information is in the public interest and entrepreneurship should be encouraged.
- Government information should be available at low cost.
- A system to provide equitable, no-fee access to basic public information is a requirement of a democratic society.

In accordance with these principles, ARL strongly opposes any action by LC that has the effect of creating impediments to or placing inappropriate restrictions on government-produced databases or other information produced at taxpayer expense. Furthermore, ARL reasserts that government information is a public asset to be made widely available to all users. It is not a commodity that is to be sold for profit by the United States government.

2. ARL believes that licensing use of the MARC records is not in the best interests of international scholarship. Therefore ARL urges LC to pursue reciprocal arrangements with other national libraries. ARL is particularly concerned about maintaining the historically strong cooperation among research libraries in the United States and Canada.

3. ARL regards LC as a key partner in the provision and support of scholarly information and has been a consistent and strong advocate for LC programs and budget requests. Research libraries and the Library of Congress have forged effective coalitions for cooperative cataloging, collecting, and preservation activities. ARL libraries continue their commitment to participate with LC in cooperative efforts to increase accessibility of research materials. We urge LC to work with ARL to assure the continued viability of these valuable programs.

The Association of Research Libraries is an organization of 119 major research libraries in the United States and Canada. Its purposes are to strengthen and extend the capacities of its member libraries to provide access to recorded information and to foster an environment where learning flourishes, to enhance scholarly communication, and to influence policies affecting the flow of information. Members include 107 large university libraries, the national libraries of both countries, and a number of public and special libraries with substantial research collections.

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Reactions of Participants in
LIBRARY OF CONGRESS DIAL-UP ACCESS PILOT PROJECT

A recent outreach effort by the Library of Congress is the LC Dial-up Access Pilot Project (or ROLLUP, Remote On-line LOCIS User Pilot). This pilot provides dial-up access to LOCIS (Library of Congress Information System) from 14 remote sites throughout the U.S.

CALIFORNIA STATE LIBRARY: ...on October 17, 1989, a major earthquake shattered the San Francisco Bay Area. The day after, access to LOCIS was of vital assistance in identifying and locating information on disaster recovery plans, and reports on successful recovery efforts in previous earthquakes of similar magnitude. This information was instrumental in both helping California state government provide aid to earthquake victims, and in assisting the state legislature in drafting earthquake relief legislation as quickly as possible....

Access to other LC files such as the Issue Briefs would also be extremely valuable in our work for California state government on public policy issues of common interest with the U.S. Congress. Such access would eliminate redundancy in gathering information which has already been done by the CRS for Congress.

CALIFORNIA - UNIV. OF SOUTHERN CALIF.: ...we have had at least five film and music companies and several attorneys request access to the Copyright files....we were offering a major new service which for the first time made it unnecessary to travel to Washington to search the files there....

The USC academic community is now incorporating the use of the files into courses in social work, public administration, gerontology, and history, where the Legislation and the Bibliographic Citation Files are proving to be of particular use....

...the Professor of Law who is researching the effects of Supreme Court decisions on the Congress...has saved significant time by assigning his research assistant to search the Library of Congress files now available under the pilot program.

It is our earnest recommendation and hope that this wonderful new initiative will be established as a permanent feature of scholarly life in this country, and expand to greater dimensions.

DISTRICT OF COLUMBIA PUBLIC LIBRARY: Since we are a public library, our resources are used by many people, including independent researchers, business people, university and high school students, and the general public. All have made use of our on-line access to the LC...Our LC on-line access enables us to locate full information about a book knowing only a unique word or two in the title. This type of question can be difficult or impossible to answer using our standard reference sources. With the LC databases, we can find the answer quickly and easily.

DISTRICT OF COLUMBIA - U.S. INFORMATION AGENCY: From our USIS office in Sofia, Bulgaria, we received an urgent request for information on the right of freedom of assembly in the U.S. This had been requested by a member of the Bulgarian government who is involved in drafting new legislation. Given the need for a quick response, immediate access to appropriate material on the Bibliographic Citation file meant an economy in terms of both time and money in answering this important question.

KENTUCKY - UNIV. OF KENTUCKY, LEXINGTON: The primary advantage we have realized from our access to LOCIS is the ability to save our patrons either hours of time or travel to D.C. to determine whether LC owns a title or has knowledge of its location. For example, a professor in the...College of Architecture brought us eight citations to early twentieth century imprints on World War I aviation. He had been planning to make a trip to LC to look for them, but has now decided to bring the rest in...and search them on LOCIS!...LOCIS...also gives us access to information from government agencies which we have never had before, i.e., the copyright files.

MARYLAND - UNIV. OF MARYLAND, COLLEGE PARK: The breadth and depth of resources of this national information gem repeatedly impress researchers in most any field and generate appreciation for the wealth of knowledge available there. Searches during the pilot have identified LC's uniqueness in often being the only research library which owns and has cataloged a specific book. The files compiled by CRS...are also unique to LC. Whereas somewhat similar databases are available through private vendors, there are sources scanned by and analyzed in a distinctive way by CRS staff that render these files indispensable....a patron was looking for caving maps of Maryland and Virginia; references were found in the MAPS file which could not easily be found elsewhere. The depth of the LC files is also witnessed by the great numbers of retrospective entries included; by comparison the coverage in many other online databases available to the public starts only with the mid-1960's. This is particularly valuable to researchers in the humanities.

The convenience offered researchers by this remote access is significant. Even though researchers at UMCP are within commuting distance of LC, the remote access...has saved many of them valuable time. ...many researchers here search the system to verify holdings before going to the LC, thereby making their time at the LC much more productive, while also minimizing the amount of LC's staff and computer assistance they might require.

...the MUMS system permits searchers to target virtually every piece of information in a catalog entry by keyword or number. This has proven invaluable in finding conference proceedings, technical reports, working papers and pulling together bits and pieces of what some staff call "phantom" or "fugitive" citations. For example, a researcher has a few words or phrases from a title, not necessarily in the right order, and the author's last name, with uncertain spelling, or has some cryptic citation to "AASP-10/1;" such a request can be found with access to LOCIS.

MASSACHUSETTS - BOSTON PUBLIC LIBRARY: In the past few days, we have located a Congressional hearing on youth gangs and violence for the use of Mayor Flynn's office, we have located information on an Educom conference for the use of members of a committee planning a program for the Boston Library Consortium..., and have completed a copyright search on a piece of music for a member of the Boston Symphony Orchestra.

Services such as dial-up access that the LC can offer save time and money on a local level. We have demonstrated the use of the LC databases to persons from academic and public libraries. There is genuine excitement about this opportunity to have access to the wealth of information available at LC.

MICHIGAN - UNIV. OF MICHIGAN, ANN ARBOR: From a professor of political science and public policy: Remote access to LC databases is a godsend for the sort of research I do, the research many of my graduate students do, and the assignments that I give my undergraduates in American government courses. It has already saved me or my research assistants countless hours and made possible a substantial expansion of the project I am currently planning. Once it's publicized and made more widely accessible, I predict heavy use by faculty and students in law, public policy, and the social sciences.

NEW YORK STATE LIBRARY: Information in the LOCIS system is so vital to our clients that we have installed a microcomputer and modem at our off-site Legislative Service Point specifically to provide access to the LC databases.

Examples of subjects searched: (1) Reverse mortgage loans (reverse annuity mortgages)--for legislative staff researching possible legislation in this area. (2) Day care; nutrition; education research; vocational education; illiteracy; abortion--for "quick awareness" by research staff assigned to follow these topics. (3) Organizations dealing with non-violence--one of many requests for lists of organizations, as this is a quick and easy way to get this information.

NORTH CAROLINA - DUKE UNIVERSITY: There are many commercially produced databases and sophisticated computerized library catalogs available to the academic community, but as a national information base these are incomplete without the records and access points provided by the computerized catalogs of the Library of Congress. Faculty, students and librarians...are learning just how important this access can be....researchers of public policy issues, an important discipline at this university, have found the LOCIS book and journal citation files to be invaluable in identifying publications which may even be at Duke, but which would be difficult to locate through other means.

OREGON STATE LIBRARY: Examples of benefits derived by direct access to LOCIS:

- A local professional engineer who in the past has relied on friends, relatives and researchers living in the Washington DC area for assistance in using the LOCIS System, now is able to achieve, with local help, quick verification of specialized research materials.
- The Oregon State Library reference staff was able to identify several titles on British electrical wiring, for a local electrician, using the flexibility of the software on LOCIS.
- Several state agency and state legislative employees have been able to track, in a timely manner, the status of important current federal legislation.
- Researchers at a local university were able to determine bills introduced covering plastics recycling.
- The State Library has been able to use the "BIBL" files to supplement its current awareness service on issues of interest to state legislators.
- Field representatives for a U.S. Senator referred two constituents to the State Library for assistance in working on a project using the advantages derived from direct local access to LOCIS.

THE NATIONAL HUMANITIES ALLIANCE

WITNESS

STANLEY N. KATZ, PRESIDENT, AMERICAN COUNCIL OF LEARNED SOCIETIES

Mr. Fazio. Now, we will hear from Stanley Katz, who is the President of the American Council of Learned Societies. He is speaking in behalf of the National Humanities Alliance. Again, due to time constraints I will urge you to summarize your comments and we will place your statement in the record in it entirety.

Mr. Katz. I can be very brief. It is a pleasure to be here. My organization, ACLS, represents 46 learned societies in the United States, soon to be 51, with approximately 300,000 individuals belonging, so it is a broad spectrum of American academics. I am also representing not only my own organization, but the Humanities Alliance, which is about 50 or more cultural institutions.

SUPPORT BUDGET OF LOC

Really, my message is very simple. That is, we support the 22 percent increase requested for the budget because of the importance we attach to the Library of Congress. You know, I think, what that is, and perhaps it is not necessary to go over it again. It is impossible to exaggerate how important this Library is both to the national scholarly community in the United States and to the international scholarly community, and let me just say one word about that because I didn't put it in my written testimony.

INTERNATIONAL IMPORTANCE OF LIBRARY

I have just come back from a trip to Indochina. I visited the National Libraries in Vietnam and Cambodia, and they both could fit into this little wing of your offices here. Vietnam is adopting Library of Congress cataloging, which is a piece of information which staggered me.

I didn't expect it. But it is an example of the fact. On that trip, by the way, I met with the L.C. person who acquires books in Bangkok. I gave a conference on constitutionalism in Zimbabwe and invited the Africa specialist from the law library to attend that conference.

Anywhere you go in the world you encounter the Library of Congress, so that is to be taken very seriously. We have an international responsibility here as well as a national one. It is a great library. My final statement is simply that those who work with the Library are very concerned about its current state.

Both the accumulation of arrearages and the staff levels are a source of real concern to us as the user community. We would urge you to make up what has happened over the past several years and bring the Library up at least to the level of other cultural institutions. Thank you.

[The statement of Mr. Katz follows:]

Statement of Stanley N.Katz
President of the American Council of Learned Societies
speaking in behalf of
The National Humanities Alliance

On the Fiscal Year 1991 Appropriation for
The Library of Congress

Before the Subcommittee on the Legislative Branch
Committee on Appropriations
U.S. House of Representatives

8 February 1990

Testimony of Stanley N. Katz, February 8, 1990

I am Stanley N. Katz, President of the American Council of Learned Societies, an organization founded in 1919 and chartered by the Congress in 1982 to serve as the national institution for the promotion of the humanities and the humanistic aspects of the social sciences in the United States. ACLS is comprised of 46 professional learned societies, who among them claim more than a quarter of a million individual members. I have received professional training in history and law, and have taught at Harvard, the University of Wisconsin-Madison, the University of Chicago and Pennsylvania law schools, and Princeton, where I am concurrently Senior Fellow in the Woodrow Wilson School of Public and International Affairs. I am here to speak in behalf of the members of the National Humanities Alliance* and more generally the humanities and social science scholarly community of this country.

Let me begin by saying how much the Library of Congress has meant to me personally. Over the 35 years of my scholarly career, I have worked off and on in the library -- primarily in the Manuscripts Division and the Law Library. I am currently the Editor of the Oliver Wendell Holmes Devise History of the United States Supreme Court, a project based in the Library and chaired by the Librarian of Congress. My graduate students have had fellowships to do research at the Library, and one has published a bibliography of works relating to slavery in the Law Library. The papers of my wife's grandfather, a distinguished Unitarian minister and writer, are housed in the Manuscript Division, as are the archives of ACLS.

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*The National Humanities Alliance is an independent federation of more than fifty learned and professional societies, organizations representing libraries, museums, historic organizations, state humanities councils and other non-profit institutions committed to enhancing the place of humanistic inquiry in American life and to assisting in development of federal policies for the support of research, teaching and other humanities activities. A list of NHA's members is attached. The American Council of Learned Societies is a founding member of the Alliance.

The Library of Congress is the greatest single scholarly resource in the world. Perhaps I should stop by saying just that. Nowhere else is there such a vast, varied and rich collection of books, serials, manuscripts, maps, photographs, sound recordings and the other records of the human spirit -- all accessible without charge to citizens of the world. My organization oversees exchanges and research agreements with most of the nations of the world, from the Mongolian People's Republic to the German Democratic Republic (if it is still called that by the time I deliver my oral testimony), and I am familiar with most of the national libraries abroad. None is so rich with material or so open as our own Library of Congress.

I should also like to stress the outreach of the Library. The expert and comprehensive cataloguing done at LC not only saves millions of dollars for public and private libraries around the country, but insures the uniformity and quality control so necessary for adequate bibliographic retrieval. The published union catalogues of books and manuscripts of LC materials are among the most important research tools in all libraries. The serials and foreign language materials at LC are frequently unavailable anywhere else in the United States, and constitute an international treasure. The pioneering working done at LC on the preservation of books with acidic paper and on optical disk technology are of international significance.

Testimony of Stanley N. Katz, February 8, 1990

I could go on, but the point is simple and can be stated briefly -- the good health of LC is absolutely central to the sustenance and growth of American scholarship, which is, bar none, the finest in the world. The Library of Congress budget has been cut to the point at which its capacity to function is seriously threatened. Over the last six years the LC budget has grown by only 14% -- not even keeping pace with inflation. During the same six year period, comparable national centers such as the Smithsonian Institution and the National Library of Medicine have grown by 38 to 68%. The unfilled staff positions alone make it impossible for the Library to operate a full range of services at an adequate level, and the backlogs in processing and cataloging are growing and have an adverse impact in libraries throughout the nation. Today, the Subcommittee is considering a proposal for a 22% increase in the LC's budget -- from $267 million to $326.5 million. I urge the Subcommittee to support the full amount so that this critical national resource can move toward filling its many empty staff positions and move to diminish the very large arrearages that cost us all so much. LC is in financial trouble, and the consequence is that the vitality of U.S. scholarship is jeopardized.

And not only university research. I first encountered the Library as an undergraduate rooming next to a blind student, for whom I read -- as I saw what the National Library Service for the Blind meant to my friend, I began to appreciate what the national library of a compassionate country could do for all its people. Thirty-five years as a scholar have only strengthened that feeling, and I know that I speak for nearly 300,000 scholars in fifty states when I urge you to fund this essential institution fully.

The NHA National Humanities Alliance

Members of the National Humanities Alliance

American Academy of Religion
American Anthropological Association
American Association of Museums
American Association for State and Local History
American Conference of Academic Deans
American Council of Learned Societies
American Dialect Society
American Folklore Society
American Historical Association
American Library Association
American Musicological Society
American Numismatic Society
American Philological Association
American Philosophical Association
American Political Science Association
American Society for Aesthetics
American Society for Eighteenth-Century Studies
American Society for Legal History
American Society for Theatre Research
American Sociological Association
American Studies Association
Association for Asian Studies
Association for Jewish Studies
Association of American Colleges
Association of American Geographers
Association of American Law Schools
Association of Research Libraries
College Art Association of America
College English Association
Community College Humanities Association
Federation of State Humanities Councils
George Washington University
History of Science Society
Independent Research Libraries Association
Linguistic Society of America
Medieval Academy of America
Midwest Modern Language Association
Modern Language Association
National Council of Teachers of English
Philological Association of the Pacific Coast
Popular Culture Association
Renaissance Society of America
Shakespeare Association of America
Social Science Research Council
Society for Ethnomusicology
Society for the History of Technology
Society of Biblical Literature
Society of Christian Ethics
South Atlantic Modern Language Association
South Central Modern Language Association
Speech Communication Association
Townsend Center for the Humanities, University of California at Berkeley
Virginia Center for the Humanities

(June 1989)

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SUBCOMMITTEE FACES LIMITED AVAILABILITY OF FUNDING

Mr. **Fazio**. Thank you very much for your pertinent testimony.

Let me say at this point, and we may have others who come before us today with similar points of view. We have provided the Library with a larger percentage of funding than the other legislative branch agencies on average, but there have been sequestrations. There has been across-the-board cuts for drug wars. We have had serious funding problems in all the domestic discretionary appropriations.

Everything has gone up. Debt interest has gone up. Defense spending has gone up, as well as entitlement programs. The only area of the budget that has been reduced markedly is the annually appropriated discretionary funds. The Legislative Branch funding is almost totally in that category, and so we have been fighting to keep a reasonably decent level of funding in the face of massive reductions in real terms in domestic spending. That is the broader problem we face.

And I just hope that the people who are legitimately concerned about the Library's future keep in mind that we are fighting a battle within a larger war. And as long as the inability to re-orient our budget priorities continues, we are going to be fighting that battle.

It is very frustrating for all of us. But we have, for example, despite the constrained budgets that we have been facing over the last ten years or so that I have been Chairman, provided $81 million for the renovation of the Library.

Now, I realize that more often people want to direct money toward human resources but I believe it was important for the Library to have that renovation project. Frankly, in retrospect I am amazed that we were able to fund it in the face of tight budgets, but I appreciate all the comments and the concerns that motivates them.

It is important for me to convey the problems that our Committee faces. We will be given only a very small slice of the appropriations pie from the Full Committee. We have to make the best we can of the situation we face. And the Library generally does quite well in proportion to the other agencies.

The problem, of course, is that you are quite right, there is a lot more we could be and should be doing. However, I am not convinced that I am ever going to have the opportunity to increase the Library's budget to the degree they have requested, even though we have had so many witneses come today and support it.

Mr. **Katz**. We know that, I think. Let me just associate myself with Mr. Boisse, because if this means an increasing privatization of library services, then I think in the long run we have a real political problem on our hands because that is not something that either the libraries or the user community can feel very good about.

Mr. **Fazio**. No, I don't want to see that, either. On the other hand, as we were discussing earlier with research libraries, it may mean more cost-sharing and more state and local or user contributions that would subsidize the total. We want to make progress, but we don't have the funds to accomplish all of the goals either at the GPO or Library of Congress. Thank you very much.

AMERICAN FEDERATION OF STATE, COUNTY, AND MUNICIPAL EMPLOYEES, LOCAL 2910

WITNESSES

MARY ANN JOYCE, PRESIDENT

CHRIS SHOLLENBERGER, CHIEF STEWARD

Mr. FAZIO. Mary Ann Joyce, President of AFSCME, Local 2910, who has appeared before us on many occasions. We are glad to see you again. Is the Chief Steward with you?

Ms. JOYCE. Yes, this is Chris Shollenberger. I am going to ask two of our steward directors to join us at the table. Their names are Philip Barber and John Greene.

In view of the number of witnesses who are here to testify today, I don't want to take up too much of your time. I also don't want to spend time reading to you a statement which I know that you have already tentatively read yourself.

Mr. FAZIO. Now, I wouldn't go that far, Mary Ann.

Ms. JOYCE. You always do.

Mr. FAZIO. There is a high degree of optimism that we always share.

Ms. JOYCE. We can tell from your questions.

Mr. FAZIO. I am fairly sensitive to what you are up to anyway.

Ms. JOYCE. Particularly because we do have a little story to tell you when we come to the part of our testimony that deals with the class action——

Mr. FAZIO. Is that the same class action that a number of other people are here to talk about?

Ms. JOYCE. Yes, it is.

Mr. FAZIO. We have Joyce Thorpe, a Library of Congress employee, who is scheduled to talk about that. You have been attending some of our hearings on prior occasions as well. Are you going to touch on that?

Ms. JOYCE. Yes.

ENVIRONMENTAL CONCERNS

Mr. FAZIO. We will get back that issue later.

Ms. JOYCE. As usual, we thank you for the opportunity to testify before you today, and we generally support the Library's request for as much funding as you can give it. You know our services and you know they are valuable and that they are ultimately limited by limited funding.

We know you will do your best for us. Whatever our resources, we believe the Library has to make the most of them, and that doing that will depend on how much the Library values its own employees, involves them in decisionmaking and appreciates their diversity. Valuing employees means providing them with safe and healthy surroundings, and we believe that the Library is getting better about consulting with the unions toward investigating health and safety problems, and the current Madison Building study that is being conducted by the National Institute for Occupational Safety and Health is a good case in point.

By the end of the summer, we will have their full recommendations. We already have some of their suggestions now, but there is nothing in this budget request towards correcting Madison Building environmental problems. We think that is a problem because once we have the final NIOSH diagnosis, the Library must be ready to fill the prescription.

Library employees in the Madison Building and in some of the other buildings as well, still work amidst fire alarms that don't work, air that is stagnant and overheated, and water that they are reluctant to drink. We think that such matters should be top priority for the Library and top priority in terms of the budget, as should proper ergonomic equipment and work stations.

NEED FOR ATTENTION TO ERGONOMICS

As we meet today, the Library is sponsoring a program about ergonomic and other concerns, and we are very pleased to see that the Library is taking more of an interest in this area.

However, many people have been working on-line for years, and by the end of the year all Library of Congress cataloging will be done on-line. This is something that is affecting more and more of our people, and those people who have already been working with computer technology are already having significant vision problems and have had chronic problems in getting the Library to adjust lighting or to provide the kind of ergonomic furnishings that would make it possible for them to work without developing physical pain and discomfort.

The Library has always treated buying computer technology as something that is very separate from providing the kinds of things that people need to use it safely, and we think that that linkage needs to be strengthened. We would hope that you could encourage the Library to make sure that when it asks for money for automation, it asks for funds that will cover adjustable ergonomic equipment and furnishings and work stations equipped to accommodate them and that funds for appropriate training and testing of equipment will be included as well.

We also hope that the Library will fill its long vacant industrial hygienist position soon and that when it gets such a person it will listen to what that person has to say about such concerns.

Mr. FAZIO. Is it fair to say the Library benefits from other work being done in the Federal Government about VDT's and things of that sort?

Ms. JOYCE. I don't believe it is because I don't think it has taken advantage of it.

Mr. FAZIO. I assume it is being done in the Federal Government.

Ms. JOYCE. I would hope that something is being done more than the Library is doing.

Mr. FAZIO. Well, I would hope both things are the case.

AFSCME OPPOSES MEXICAN OFFICE

Ms. JOYCE. We also believe that valuing employees means paying them appropriately for their work and not exporting their jobs.

The American Library Association may not be taking a position today on the proposal to establish a new field office in Mexico.

However, we are taking a position on that, and we are also institutional members of ALA as a union. We are suggesting to this committee that while the Library presence in these areas, especially Africa, could be helpful. A full-fledged Mexican field office would be a gross example of inefficient use of funds and manpower, as well as tax supported competition to book dealers in the private sector.

A one- to two-person presence directed from Washington will allow for better fiscal and acquisition policy efficiency, maintain Washington guidance, allow more opportunity for U.S. Hispanics and not require extensive and expensive training of new catalogers to conform to the Library's standards.

The Library does not need to export professional cataloging and acquisition work overseas where foreign workers would be employed at 50 percent of sale prices while supervised by a $75,441 a year American supervisor. We don't support that double standard in pay, and we believe that we can be a global Library without creating a colonial empire.

OPPOSITION TO SES PAY STATUS

Neither do we support proposals to place the Library in senior executive service pay status for the many reasons that our colleagues in the Congressional Research Employees Association have already stated to you. While there are so many Library employees who are still in not-to-exceed status without the benefits which permanent employees enjoy, we don't believe this is appropriate.

We applaud management's interest in increasing the amount and number of incentive awards given to employees, but we think the Library needs to work more closely with the Library's unions in making sure that research shares in the wealth.

HEALTH AND CHILD CARE NEEDS

We have similar views on the additional training funds. We are pleased that a budget request is being made to increase the number of nursing personnel to reopen the health rooms in the Jefferson and Adams Building, and we are very delighted that the Library is seeking a new facility on Capitol Hill to create a child care center.

As you have noted in the past, we have talked a lot about our support for child care and we know that you are in our corner on that issue.

Mr. Fazio. I am hopeful that this year we may make a breakthrough.

Ms. Joyce. We hope so, too.

Mr. Fazio. In fact, we might even be able, as was indicated earlier, have some benefits between congressional staff and Library staff children, sharing similar facilities.

Ms. Joyce. You are welcome any time.

Mr. Fazio. You are welcome any time.

I think whatever we do, we have to make sure we are taking care of the Library's needs first and then if there is additional space, since we have our own facility, which is overloaded already, particularly in infant care, maybe we can work out something together.

CONSULTATIVE MANAGEMENT

Ms. JOYCE. Wonderful. One of the bright spots in labor/management relations at the Library recently has been consultative management. There are a lot of groups active, and they are producing some good results already, and we hope that more will come. We think consultative management could be even more beneficial at the Library if greater efforts were made to make open solicitations for volunteers wherever groups are being formed if the unions were even more involved in the process and if consultation included consensus decisions which management honored as important expressions of collective wisdom.

We also would like to mention that consultation is not a substitute for collective bargaining, and we have from time to time still run into difficulties in getting the Library's cooperation in bargaining various issues that affect our people.

EEO AND AFFIRMATIVE ACTION

Most recently with regard to the human resources director at reorganization, but we are still working on that. We hope that the next year will see a greater commitment from the Library in terms of appreciating its own diversity because we think that not doing so is related to the number of EEO complaints, affirmative action problems, and general dissatisfaction about hiring that is present in the Library.

We need an attitudinal change, and that can make a difference in all of those areas. While the recent Library union initiatives and dispute resolution are resolving a number of EEO complaints, we would like to point out that they aren't the whole answer. We would also like to point out that the EEO office itself could be sharing in this complaint settlement if they were given the same power that these dispute resolution teams have to impose a settlement if it is satisfactory to the complainant, and currently the EEO office is not in that position.

But at the base of all this, the causes of the EEO complaints and the offending managers seldom being reprimanded or being allowed to remain in their positions to continue their past practices, these are the kinds of things that have to be dealt with if the Library is ever to stem the tide.

Reprisals are still taken against some participants in the EEO dispute resolution process, just as they have been to some EEO complainants whose cases pass through the EEO office, and the result is that the number of EEO complaints being filed at the Library remains constant. The Library needs to devise a plan to eliminate the causes of EEO problems at their origins as well as reduce the backlog.

CLASS ACTION SUIT

Regarding the class action lawsuit on behalf of black employees of the Library of Congress, we believe the Library should settle that case. The Library admitted liability in this case, but it continues to invest in litigation rather than adjust resolution.

The Library's failure to redress the past wrongs against these employees dates back for years. Many class action participants have ended their careers at the Library while the agency saw this case. At this point I would like to tell you a very brief little story that for me illustrates what the 4(a) class is all about in practical terms.

Last night I happened across a copy of the list of 4(a) appointees who were hired noncompetitively for high level Library positions from which black staff members were excluded. On that list was the name of the manager to whom racism and antisemitic remarks were attributed in testimony before this subcommittee five years ago.

That 4(a) appointee's name also appeared on a list of incentive award winners for last year. The black employee whose EEO complaint uncovered those offensive remarks also had his name in print last year. He died about a week after an EEO hearing successfully urged settlement of his individual complaint. His name appeared in an obituary column. Some day his mother will receive the back pay he was promised. He, too, was waiting for a resolution to this 4(a) class action.

Some people will tell you that nothing has changed since this class action began. That is not really true. Some complainants have died waiting, some have retired, waiting for career opportunities that never came. It is time to lay this matter to rest before anymore do.

Regarding the affirmative action plan, soon we will be bargaining over a new multi-year plan, and we were pleased to be involved in creating the draft of this plan but disappointed that important parts of it were eliminated after the consultation process was over.

Whether the plan actually benefits Library employees will depend very much on whether the Library intends to use local or national statistics as a yardstick against which the agency's affirmative action performance is measured.

If local figures are used and the Library did hire locally, the Library will have to make a commitment to hiring many more members of protected classes. If national figures are used, the Library will not really have to use any of its proposed programs because its affirmative action obligations will disappear in a puff of statistical smoke.

We hope that you will encourage the Library to do the right thing here. We would also point out that the Library could improve its hiring of minorities, women, and pretty much everyone else on the staff if it dropped the time and grade requirements on posted Library positions because they effectively discriminate against all inside applicants for employment and promotions.

The Library should not punish people in terms of job mobility and advancement simply because they already work here while increasingly relying on services of outside consultants and outside recruiting. I would like to add the affirmative action plan as currently drafted puts a great deal of emphasis on outside recruiting as a way to solve the Library's affirmative action problems.

We think that is a breach of promise to all the Library employees who have worked over the years to improve the situation with regard to affirmative action.

I would also like to point out that we see some parallels between how the Library is using consultants and contractors these days and the way they used 4(a) appointments before a judge told them that they couldn't use that particular avenue, and we would urge you to look very closely at the funding for consultants and contractors because we feel that the Library may be using this mechanism much as it once used 4(a) to make appointments noncompetitively.

Thanks for you time and your attention, and if you have any questions, we would be happy to answer them now or get back to you later.

Mr. Fazio. Well, thank you very much for a very comprehensive testimony, and I appreciate the breadth of issues you covered.

Given our time problems, I think we will have to contact you for additional information should we need it. We have several other issues to get into, some of which you have just touched on.

[The statement of Ms. Joyce follows:]

**AFSCME
LOCAL 2910**

LIBRARY OF CONGRESS · LM G-43
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February 8, 1990

AFSCME 2910 Witness List

Mary Ann Joyce
President

Chris Shollenberger
Chief Steward

LIBRARY OF CONGRESS PROFESSIONAL GUILD

Statement of AFSCME Local 2910
before the Committee on Appropriations,
Subcommittee on Legislative Branch Appropriations,
U.S. House of Representatives

February 8, 1990

Mr. Chairman, members of the Committee, thank you for providing this opportunity to testify today on behalf of the 1250 Library of Congress professionals whom we represent.

We generally support the Library's request for a substantial increase in our funding. You know the many valuable services we provide to Congress and to the public. You know that limits on those services will inevitably result if our appropriations are, year after year, limited by sequestrations and mandatory cost absorptions. Dr. Billington has expressed his view that we are at a crossroads, and that adequate funding will determine the avenues open to us. We know that we can count on your best efforts to help us secure needed financial resources.

We are at another kind of crossroads as well. Whatever our resources, the Library must make the most of them. Doing so will depend, in our view, on how much the Library actively values its own employees, involves them in decision-making, and appreciates their diversity.

Valuing employees means providing them with safe and healthy surroundings. Quality work is enhanced by quality working conditions. The Library is cooperating more with the unions in investigating environmental problems. The groundbreaking Madison Building study being conducted by the National Institute for Occupational Safety and Health (NIOSH) and the Environmental Protection Agency (EPA) and others, is a case in point. Most of the NIOSH recommendations for improving the Madison Building environment will accompany the final portion of the three part report of findings due this summer. However, NIOSH has already made some suggestions, e.g., that the Library conduct annual work environment surveys and clinical followups, and monitor sick leave patterns. The Library may not be able to predict the specific recommendations of the final portion of the report. The Library can anticipate that there will be some, that they will cost money, and that funds should be sought now to prevent another year's delay in implementing the recommendations. Yet there is nothing in this budget request toward correcting Madison Building environmental problems. These problems must be solved as well as studied. Once we have the final NIOSH diagnosis, the Library must be ready to fill the prescription.

Library employees in the Madison Building and in other Library buildings continue to work amidst fire alarm signals which do not work, air which is stagnant and overheated, and water they are reluctant to drink. Such matters should be top budget priorities. So should proper ergonomic equipment and workstations.

More and more Library staff members work intensively with video display terminals (VDTs) and without the kind of ergonomic equipment and workstations which should accompany automation. It has been proven that poor ergonomics produces absenteeism, medical disabilities and reduced efficiency of operation. Poor ergonomics frequently causes employees to develop painful, debilitating injuries, and increases stress. Good ergonomics increases productivity. By the end of the year, the Library of Congress will perform all of its cataloging online. This is intended to improve cataloging efficiency. Yet more than new technology is needed to result in improved throughput time or a reduction in the arrearages which so concern us all.

The Library of Congress is a leader in the automation of librarianship, but it has yet to come to appreciate the fact that good working conditions are as much an integral part of the cost of automation as are computers. The Library's approach has always involved the separation of ergonomic considerations from all other aspects of technological change. This fragmentation of the physical realities of automated work has often resulted in a failure to provide proper lighting, desks, chairs, wrist rests, glare screens --- leading employees to experience physical pain and discomfort.

Although some progress has been made, the Library as an institution lacks an overall policy for dealing with ergonomic issues. Responsibility for ergonomic planning and improvement is diffuse and inconsistent; employees --- and efficiency --- suffer as a result. For example, in moving to online cataloging in one area recently, rather than provide employees with an ergonomically correct workstation, a computer, printer, VDT and keyboard were all simply placed on desks intended to accommodate no more than a typewriter. How can catalogers do their best work when even the most basic space considerations are often treated as though they were an unnecessary luxury? The Library has avoided addressing chronic lighting imperfections in the Madison Building; now the problem will become acute as catalogers work online all day long. The Guild represents a number of catalogers who have vision problems which have worsened dramatically since they began working online. Our needs in this area are very real. They will not be addressed while ergonomic aspects remain fragmented from the rest of our work --- split away and left to float in the Library of Congress, as an institution, and in the minds of those planning technological change in the Library. This incomplete vision is often reflected in Library budget requests: the overall cost of new technology may not be immediately apparent because the cost of computer hardware necessary for online cataloging may be separated from the corresponding cost of needed ergonomic adjustments. Sometimes those ergonomic needs are not addressed at all.

Should budgeting for automation begin with hardware and end with software? Or should it mean budgeting for the things that employees need to use new technology safely?

We urge you to insist that the Library's budget requests for automation fully cover adjustable, ergonomic equipment and furnishings, and workstations equipped to accommodate them, and that funds for appropriate training and testing of equipment be included as well. We urge you to consider these things part of package which comprises technological change --- part of the cost of doing business --- and to fund them accordingly. We ask you to encourage the Library to listen to its industrial hygienist when that long-vacant position is filled. We hope that you will fund additional positions to deal with the Library's arrearages, but insist that the Library put such employees in a position to work efficiently and safely.

Valuing employees also means paying them appropriately for their work and not exporting their jobs. The Library is proposing the establishment of two new field offices in Mexico and west Africa. While a Library presence in these areas, especially Africa, could be helpful, a full-fledged Mexican filed office would be a gross example of inefficient use of funds and manpower, as well as tax supported competition to book dealers in the private sector. Mexico boasts extensive bibliographic documentation and a well organized book trade with private dealers who can provide all types of material by format (books, serials, ephemera) and distribution (government and regional publications). A 15-16 person office to handle Mexico and perhaps Central America contrasts sharply to the excellent results achieved by the Hispanic Acquisitions Program with 6 professionals and 1 technician who handle all of Mexico, Central America, the Caribbean, South America (except Brazil/Uruguay), and Spain and Portugal.

Why is the Library considering the destruction of an efficient Washington unit recognized both within the Library and throughout the U. S. as the role model for regional acquisitions? A 1-2 person presence directed from Washington would allow for better fiscal and acquisition policy efficiency, maintain Washington guidance, allow more opportunity for U.S. Hispanics, and not require extensive and expensive training of new catalogers to conform to rigid Library of Congress standards.

The Library does not need to export professional cataloging and acquisitions work overseas where foreign workers would be employed at 50%-off sale prices while supervised by a $75,441-a-year American supervisor. We do not support this double standard regarding pay. We can be a global library without creating a colonial empire.

Neither do we support proposals to place the Library in Senior Executive Service (SES) pay status. Bolstering the pay of top Library managers while removing checks and balances is inappropriate, particularly when there are still Library employees who are kept in Not-to-Exceed (NTE) appointments for years without the benefits which permanent employees enjoy. First things first.

We applaud management's interest in increasing the amount and number of incentive awards given to employees; this is part of showing staff that the Library does value their contributions. Leaving budgeted positions unfilled in order to fund amounts needed for awards, as the Library did last year, is unsatisfactory. However, we wonder if highly paid Library managers will continue to receive excessive cash awards. We suggest that the Library work more closely with the unions in distributing such resources, so that dedicated rank and file employees of the Library who have performed their jobs well even under the most adverse conditions, can be rewarded and encouraged.

We have similar views on the Library's request for additional training funds, and support that item, with additional union input on sharing it equitably.

We are pleased that a budget request is being made to increase the number of nursing personnel for the Library's Health Services Office in order to reopen the health rooms in the Jefferson and Adams Buildings. We ask approval of appropriations related to the protection of the health and safety of Library employees, including a baseline audit of the Library's safety program and the purchase of a new dishwasher for the Madison cafeteria.

We are delighted that the Library is seeking a new facility on Capitol Hill to create a child care center. This represents a real commitment by the Library to provide for the needs of Library staff members and their families, in a way that makes good business sense. We urge you to do everything you can to see that this center becomes a reality. Achieving child care for Library families was one of the first consultative endeavors between labor and management. When the center opens, it will be a consultative management coup of the first order.

Consultative management at the Library has been a bright spot in labor-management relations, and a good example of the Library's involving employees in decision making. In the last year, many new consultative groups have opened the decision making process to more people and to more ideas. While these efforts are in many instances still experimental and far from perfect, they do give us a great deal of hope for improvements at the Library, and have already produced some beneficial results. Consultative management could be even more beneficial at the Library if greater efforts were made to make open solicitations for volunteers whenever groups are being formed, if the unions were even more involved in the process, and if consultation included consensus decisions which management honored as important expressions of collective wisdom. The first stage of consultative management produces more ideas from which management chooses. A higher level of consultative management produces consensus decisions and recommendations which management values enough to implement.

We hope that the next year will see a greater commitment from the Library in terms of appreciating its own diversity. Most of the EEO complaints and affirmative action problems, as well as general dissatisfaction about hiring practices, would respond to an attitudinal change in this regard.

While the recent Library-union initiatives in dispute resolution are resolving a number of EEO complaints, such teams are only part of the solution. We are encouraged by the good intentions of the Library's EEO/dispute resolution program. It has been satisfactory to some but unsatisfactory to others. The Library could resolve even more EEO complaints if the EEO Office had the same power to impose settlements which complainants found satisfactory. However, the causes of the EEO complaints, the offending managers, are seldom reprimanded and remain in their positions continuing their past practices. Reprisals are taken against some participants in the dispute resolution process, just as they have been against some EEO complainants whose cases have passed through the EEO Office. The result of this scenario is that the rate of annual EEO complaints remains constant. We suggest that the Library devise a plan to eliminate the causes of the EEO problems at their origins as well as reduce the backlog of past complaints.

We believe that the Library should settle the long-standing class action EEO complaint on behalf of black employees. The Library admitted discrimination in this case, but it continues to invest in litigation rather than a just resolution. The Library's failure to redress past wrongs against these employees dates back for years; the class action was filed in 1982. Many of those who were hired noncompetitively while Black employees went without, have enjoyed priviliged status throughout their careers. Many class action participants have ended their careers at the Library while the agency stalled this case. Enough is enough.

Soon we will be bargaing a new multi-year Affirmative Action Plan with the Library. We are pleased to have input into its creation, but disappointed that important parts of the Plan were eliminated after the labor-management consultation process had produced what everyone seemed to feel was a very good Plan. The consultors were not consulted about these changes. Whether the Plan actually benefits Library employees will depend very much on whether the Library intends to use local or national statistics as the yardstick against which the agency's affirmative action performance is measured. If local figures are used (and the Library does hire locally), the Library will have to make a commitment to hiring many more members of protected classes. If national figures are used, the Library will not really have to use any of its proposed programs, because its affirmative action obligations will disappear in a puff of statistical smoke. We need your help in assuring that the Library does the right thing in this regard.

We would also point out that the Library could improve its hiring of minorities, women, and the rest of its staff members if it dropped the time-in-grade requirements on posted Library positions. These requirements effectively discriminate against all inside applicants for employement and promotions. The Library should not punish people in terms of job mobility and advancement simply because they already work here, while increasingly relying on the services of outside consultants, and outside recruiting.

Thank you for your time and your attention to our concerns. We know that we can rely on you to follow up on them with the Library.

PROPOSED LIBRARY OF CONGRESS OFFICE IN MEXICO CITY

WITNESS

DR. ELWIN V. SVENSON, VICE CHANCELLOR-INSTITUTIONAL RELATIONS, UNIVERSITY OF CALIFORNIA, LOS ANGELES

Mr. FAZIO. I would like now to call Dr. Elvin V. Svenson, Vice Chancellor for Institutional Relations at UCLA on the issue of the Mexico City office.

We will be talking about the West African office in a minute. We will focus on the Mexican office first and then we will go on to the African office. Dr. Svenson, go right ahead. We are attempting to keep the testimony rather brief but obviously we want to explore several areas of controversy.

NEED FOR MEXICAN OFFICE

Mr. SVENSON. You have my written testimony. I just want to mention the strategic importance of Mexico, Central America, and the Caribbean to this country.

I want to comment on the fact that UCLA, with a major Latin American student center, is a national as well as a state and local resource.

The Library of Congress is an important dimension for not only Congress but for higher education research interests, and because no single academic library alone can meet the growing demands for Mexico, Central America, and the Caribbean, we urge the Library of Congress to establish a field office in Mexico.

SERVICING UNMET ACQUISITIONS NEEDS

In this area of the world, acquisition of library materials is difficult. While book dealers have been able to provide reliable core collection materials such as commercially produced books and some government publications, often they have not been able to fulfill the needs of research level institutions. That is a correction in the testimony.

[CLERK'S NOTE.—Dr. Svenson submitted a corrected copy of the statement for the record.]

There is another correction, in order to fill the gaps and to provide information more quickly, it makes a great deal of sense for the university libraries, such as UCLA, to rely on the Library of Congress field office for daily newspapers, many noncommercial publications of agencies not normally serviced by private and commercial book vendors in acquiring multi copies of government documents, which is usually only marginally more difficult than acquiring a single copy from the Library of Congress itself.

LIBRARY OF CONGRESS/BOOK DEALER COOPERATION

One of the issues on this has to do with the relationship with commercial vendors, and I would just say that an LC office would go beyond the traditional services of book dealers to meet the growing demands for other types of material. We cannot say that new arrangements will work to the advantage of every commercial dealer's existing business pattern, however in Brazil there is a situation where the LC office, libraries, and major commercial dealers are adjusting, collaborating to the benefit of all concerned.

There is no reason to believe that this experience cannot be repeated with respect to Mexico, Central America, and the Caribbean to the advantage of all concerned. We believe this kind of service has been successfully carried out in Southeast Asia, South Asia and the Middle East, the collaboration developed has provided a margin of excellence to libraries, including those supported by Congress through Title VI with the means to achieve this excellence.

UCLA AND THE MARGIN OF EXCELLENCE

At UCLA, a field office in Mexico covering that country plus Central America and the Caribbean would give us the margin of excellence we seek at an affordable cost. One of the issues you talked about has to do with financing, and we are all well aware of those problems.

Wearing another hat, I work for a group called the Debt for Development Coalition Foundation, which is an effort to convert foreign debt into an asset for the benefit of research institutions on collaborative ventures. In the case of Brazil, whether these mechanisms get in place it would be possible for institutions to acquire foreign debt and get a one to three or four leverage on that debt in terms of acquiring materials.

But the effort here is to do it in a collaborative way. Joint ventures with other universities, particularly in Latin America, have been talked about for years. Some things have happened but as earlier people have referred to, the new technology is really the solution both to lower costs and to acquiring additional information.

The ability to do that collaboratively with colleagues in foreign countries and being able to experiment in Mexico which is close by, a vital interest, would provide insights into how this could be more effectively done in other parts of the world. We are currently training two librarians in Brazil that will work with us in this process, local cataloging, material selection, and basically setting up joint ventures so that they can have access to materials in the United States, which is currently done, one of the major programs that we are working with is in agriculture with USDA in Brazil and the Amazon, trying to show those kind of data bases.

NEED FOR WEST AFRICAN OFFICE

Wearing another hat, I strongly support the West Africa—I personally tried to acquire materials there. The problem is the same. Mexico and Central America are right here. The number of changes that have occurred in Mexico in the last number of years in terms of openness for foreign investment is tremendous. The conflicting statutes and laws, if we don't have access to know what they are, a lot of people can get in trouble.

This is not a high cost item. It is a joint venture. Possible to leverage money, possible to collaborate with good librarians in those countries to the benefit of all concerned.

Thank you very much for your time.

Mr. FAZIO. Thank you very much, Dr. Svenson.

Mr. SVENSON. I will make those corrections and provide the corrected version for the record.

Mr. FAZIO. I appreciate your concern for the correction of the record. I am sure Mr. Lewis, our ranking Member, would enjoy welcoming you as a graduate of UCLA and as an individual who participated in Project India as an undergraduate and who has an interest in developing nations.

Mr. SVENSON. This is a unique committee which relates to the University of California. We appreciate the leadership on both sides of the aisle as represented in this committee. We will continue to work with you, and our appreciation to all the leadership you have provided in this and other areas.

Mr. FAZIO. Thank you very much. We appreciate your testimony.

[The statement of Dr. Svenson follows:]

UCLA TESTIMONY IN SUPPORT OF THE LIBRARY OF CONGRESS FIELD OFFICE IN MEXICO

Presented By:

DR. ELWIN V. SVENSON
Vice Chancellor-Institutional Relations

University of California, Los Angeles
(UCLA)

(Amended 2/23/90)

UCLA TESTIMONY IN SUPPORT OF THE LIBRARY OF CONGRESS FIELD OFFICE IN MEXICO

Strategic Importance of Mexico, Central America and the Caribbean

Thank you for the opportunity to offer testimony in regard to the request by the Library of Congress to establish a field office in Mexico. I am here as a representative of the University of California, Los Angeles, the UCLA Library and our Latin American Studies Center.

The importance of Mexico, Central America and the Caribbean to the United States is obvious. Issues from immigration to trade, from the drug traffic to American intervention are constantly before the public. Our common two thousand mile border with Mexico, which presents a host of problems as well as opportunities for a brighter, more interactive future, is ever present. The rapidly changing economic, social, and political nature of the region and of United States-Latin American relations has led to a constantly growing demand for up-to-date information. Libraries are pressed for the latest laws, economic and vital statistics, financial analysis, cultural materials, and daily news. Members of Congress along with other policymakers, businessmen, professional practitioners, journalists, researchers, scholars, and students all clamor to have their information needs met.

UCLA As a National Resource Base

For decades, UCLA has worked to develop strong library collections on Mexico and the rest of Latin America. These now serve a wide variety of campus efforts, such as the UCLA Program on Mexico, our Title VI National Resource Center for Latin American Studies, and the US/Mexico Border Project which currently involves more than 100 faculty and several hundred students, as well as the off-campus needs of neighboring institutions, the business and public sectors, and the general public. Increased demands cross disciplinary limits and call for a more sophisticated range and depth of research materials in the social sciences, humanities, sciences and professional fields. Thus, UCLA together with other major libraries now constitute a network of resources which are increasingly accessible bibliographically by computer and increasingly accessible physically by loan.

The Library of Congress and the National Need

Because it is impossible for UCLA or any single academic library alone to meet the growing demands for Mexican, Central American, and Caribbean materials, we urge the Library of Congress to establish a Field Office in Mexico City. This office would serve the national interests of the United States in several ways by: expanded acquisitions, planning for coordinated collection development and sharing of resources, accelerated cataloging and improved bibliographic access, tapping new types and sources of materials, and extending the reference capability of the Congressional Reference Service as well as that of other library participants by having a field office in Mexico.

Servicing Unmet Acquisitions Needs

In this area of the world, acquisition of library materials is difficult. While book dealers have been able to provide reliable core collection materials such as commercially-produced books and some government publications, often they have not been able to fulfill the needs of research-level institutions that must collect a wide variety of non-commercial publications such as government documents, academic publications, newspapers, periodicals, pamphlets, data in electronic formats, and visual material in non-book formats (such as film, video and sound cassettes). For the individual university library, acquiring many of these non-commercial publications is highly labor-intensive, requiring a great deal of correspondence and follow-up. Often, this kind of material simply cannot be acquired from afar, forcing the library to undertake expensive acquisition travel, which at best, yields only those publications in print at that moment. Acquisition is further complicated by the fact that these types of publications are generally printed in very limited quantities and go out of print quickly.

In order to fill the gaps and to provide information more quickly, it makes a great deal of sense for a university library such as UCLA to rely on a Library of Congress field office for daily newspapers, many non-commercial publications of agencies not normally serviced by private commercial book vendors, and for material in new formats. Because of its proximity to the sources of publications, the office can offer reliable and continuous acquisitions. The Library of Congress, with its official ties, has greater access to government agencies in most instances than a private commercial book vendor would have, and acquiring multiple copies of a government document is usually only marginally more difficult than acquiring one copy for the Library of Congress itself. The office could also offer microfilm or optical disc reproductions of collections of ephemeral or other materials available only in single copy. All of this could be done at cost levels so participant libraries could increase the number of items purchased within their budgets. More importantly, the Library of Congress seeks material based on its value to Congress and is not driven by considerations of what is profitable.

UCLA and other university libraries presently receiving current materials from Library of Congress field offices in Southeast Asia, South Asia, and the Middle East benefit from a reliable and economical supply of these publications. The savings derived from these participant programs have allowed libraries to purchase through book dealers other types of library material needed for an even greater strengthening of their collections.

Reliable, complete, and continuing receipt of Latin American serials subscriptions has long been a vexing problem for UCLA and other institutions. The exorbitant cost for airmail service on periodical subscriptions, especially for daily newspapers, has long forced libraries either to overly restrict the acquisition of such materials or to suffer the long delays imposed by surface mail delivery. Again, the Library of Congress has surmounted this problem by combining reasonable acquisition prices and thorough service with delivery by air through the APO.

Library of Congress/Book Dealer Cooperation

The office would serve as a major enhancement of existing services, not as a replacement for them. Field offices in other areas of the world coexist with the book dealers. Participants in the LC-Mexico, Central American and Caribbean Program would continue to use established book dealers for material that they can provide satisfactorily. The LC office would go beyond this traditional service to meet the growing demands for other types of material. We cannot say that the new arrangements will work to the advantage of every commercial dealer's existing business patterns. The Brazilian case, however, points to how the university libraries, an LC office, and a major commercial dealer is adjusting for the benefit of all concerned. There is no reason to believe that this experience cannot be repeated with respect to Mexico, Central America and the Caribbean to the advantage of the U.S. government, higher education, and the many professional and commercial entities which can be better served.

UCLA and The Margin of Excellence

UCLA--as well as other major research institutions--is very concerned with what we call the margin of excellence. This is the extra effort that elevates the good to the excellent. This effort requires hard work and leadership. For the regions of Southeast Asia, South Asia, and the Middle East, Library of Congress field offices have provided area studies programs, and those supported by Congress through Title VI, with the means to achieve excellence. These offices have provided a level of systematic acquisitions that makes excellent library support of undergraduate and graduate programs possible. These offices are an economical use of tax dollars because the client universities pay for the publications plus the costs of processing and distributing them. At UCLA, a field office in Mexico covering that country plus Central America and the Caribbean would give us the margin of excellence we seek at an affordable cost.

Supplemental Statement

In order to clarify the record in regard to UCLA's use of book dealers to supply materials on Latin America, I would like to provide the following information. A review of our records indicates that over the past four years, the UCLA Library has spent more than $102,000 to purchase books from our major book suppliers for Latin American material. This includes $27,771 with Mr. George Elmendorf's prior firm, Libros Latinos, and $22,853 with Libros Centroamericanos. In addition, we spent $51,651 with Mr. Lief Adleson's firm, Books from Mexico. We have ordered $600 in purchases from Mr. Elmendorf's new firm, Mexico Sur, and have just made a request to the central administration of the Library for an annual $3,000 blanket order with Mr. Elmendorf's other new firm, Mexico Norte. The latter order was in process at the time of my testimony.

It is my recollection that in his testimony, Mr. Elmendorf indicated that there were, in fact, certain types of material that book dealers were either unable to or unwilling to provide to interested customers. I feel it is very important to the United States and to the Library of Congress to at least begin the process of accessioning these items that are beyond the areas currently covered by the commercial suppliers of books and services related thereto. This material is important to research and is not readily available through other means. An initial pilot project could be designed to begin accessioning these reports, documents and serials without the need for a fully staffed office of the Library of Congress in Mexico and without being in direct conflict with the book dealers.

PROPOSED LIBRARY OF CONGRESS OFFICE IN MEXICO CITY

WITNESSES

GEORGE F. ELMENDORF, MEXICO SUR

S. LIEF ADLESON, BOOKS FROM MEXICO

Mr. FAZIO. And now from Mr. Lewis' district, George F. Elmendorf of Redlands, California, and a gentleman from Santa Barbara, S. Lief Adleson, representing Mexico Sur and Books from Mexico who I believe have another point of view from that of Dr. Svenson.

Mr. ELMENDORF. Yes, we do slightly differ from Dr. Svenson, even though both my parents graduated from UCLA.

Mr. SVENSON. You are not holding that against me?

Mr. ELMENDORF. No, not at all, nor against my parents. It is a fine school. I briefly attended there myself but ultimately graduated from San Francisco State University. In any case, perhaps we can help Dr. Svenson with some of his acquisition problems from Mexico. In the last year my company has issued six catalogs, about 2000 books on northern Mexico. UCLA has a very distinguished bibliography called "Border Lands" headed by Barbara Falk. When I spoke to her on the phone the other day, she was astonished that UCLA had not purchased a single book from my list on southern Mexico despite the fact that naturally I send the lists to them.

In fact, Dr. Lowerhouse sits on the Board of Directors of the Latin Member Bibliographic Foundation. I sent her a copy of all these lists.

I hope that UCLA will be able to avail itself of some of these books that belong on their on-line borderline data base and in the update of their bibliography.

I listened carefully to Dr. Billington's testimony and read his written testimony. On Tuesday and Wednesday I spoke with a number of people in the Library of Congress who are concerned with Hispanic books and other materials.

I will briefly read the name of those people. I spoke with Mary Price of Acquisitions, Judy McDermott of Exchange and Gifts, Delores Martin of the Handbook of Latin American Studies, Terry Peet of the Hispanic Acquisition Project, John Herbert of the Hispanic Division.

I happen to know all those people since I have been in the specialist business for 13 years. These people, I believe are very aware of what the problems are with Hispanics and in this case with Mexican acquisitions. They told me as a group, although I spoke with them individually, that there are two problems of crisis proportions at the Library.

One problem has been spoken of extensively by this Committee, which is arrearages. They are not quite as badly off as some other divisions, but they, too, have problems with arrearages and would like to see what money you can get for them to go into that.

The second problem, which is more serious, is lack of personnel. There are a number of slots in various divisions that have been authorized by Congress and funded, but because there has been a delay in filling them, the mandated salary increases make it a situation that they are still unfilled for lack of a few thousand dollars per slot.

These people are very much concerned about their ability to perform their mandate without this finding.

I am going to quote the Chief of the Hispanic Law Division. The arrearages problem impacts his division as needed materials are actually purchased and exist, but they are not over to him yet. That is a serious problem.

He mentioned official newspapers where in Mexico all the laws are first published at both the state and the national level. We provide those materials for the Library of Congress.

They are having trouble getting them from the acquisitions over to the Hispanic Law Division. He is very concerned about that because he needs to know about those laws.

I seriously support the Library of Congress' exception, but I don't want them to go into the commercial book selling business.

I think that is a poor use of money. Dr. Medina says he is the only qualified attorney in Hispanic Law in his division. He is the chief.

He feels this shortage of personnel impacts his primary mandate to supply legal information to Congress.

He is the person who supplies legal information, let's say, concerning Central America or Panama or Mexico, the very kind of information that Dr. Swenson was speaking about.

He is the only qualified attorney in Hispanic law in his division. He feels an office in Mexico City of the size proposed is a poor use of funding, given the arrearage problem and the lack of staffing in his own division. He feels the commercial aspect is unprecedented and unjustified.

He is satisfied with the level of material he is now getting. He could support an office in Mexico City of two or three people if it would help. If it would do some preliminary cataloging that would result in materials reaching him rapidly.

Basically, I think Dr. Medina's views represent a consensus opinion of knowledgeable specialist librarians in Latin America and the Library of Congress. I would respectfully submit to this Committee that if you would conduct a blind poll of the librarians with whom I spoke, you would discover that as a general rule, they support this as sort of a composite view that I am presenting.

I think it very well represents their opinions as specialist librarians in the Library of Congress.

Thank you very much.

[The joint statement of Mr. Elmendorf and Mr. Adleson follows:]

MEXICO SUR

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Testimony of George F. Elmendorf and S. Lief Adleson as public witnesses before the Committee on Appropriations, Sub-committee on Legislative concerning the proposed Overseas Division of the Library of Congress office in Mexico City.

January 30, 1990

The first thing that we wish to state clearly is that none of the booksellers represented by this testimony has any objection to the Library of Congress opening an office in Mexico City. Such an office could be very appropriate if it would confine its activities to cataloging, purchase for the Library of Congress of newspapers and other hard-to-get serials, issuing of accession lists and other suitable activities.

All of the bookdealers represented by this testimony object to the participant component which will turn the proposed overseas office in Mexico City into a bookseller. No businessman can accept a government funded middleman between himself and his clients. In fact, the majority of our clients object to this proposed function as it may cause them to loose bibliographic control over the region.

Middlemen inherently raise the cost to clients if direct lines of commerce are running smoothly between the provider and the client. Our clients assure us that the commercial lines between us are running smoothly. We are in direct contact by telephone and mail and welcome and act on suggestions they make for improving our services. Middlemen also inherently cause delay.

As an example, the Library of Congress receives our lists and catalogues by first class mail. They respond with orders by telephone within 48 hours of receipt. We ship the day after we receive their telephone order by UPS.

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The books are in their hands within four days. Although they are shipped fully insured, we have never had a loss. One can imagine the delays and possible losses if books were shipped to Mexico City and then reshipped back to the United States.

The only logical reason for the Overseas Division of the Library of Congress to want to go into the book business is that the current booksellers are not supplying the needs of the Library of Congress. At meetings and in other ways Mr. Filstrup has indicated several areas he feels are inadequately covered. He also attempts to distinguish between commercial and non-commercial publications. From the bookdealers viewpoint, any material we offer for sale is by definition commercial.

The publications Mr. Filstrup, at one time or another, has alleged to be inadequately covered are ephemera, government documents, academic presses, provincial presses and serials. We have attached a summary of the number of these items offered recently. Color coded copies of our lists backing up the attached statistical summary are on file in Congressman Jerry Lewis' office. In fact, at a meeting held January 5, 1990 in Redlands, California, Mr. Filstrup admitted that he did not know what books we were not supplying and that they would open the office and find out. This seems like an expensive cart before the horse approach to us. In fact, at that meeting there were two tables of lists and catalogs from six competing dealers; approximately 80 recent lists and catalogues were present.

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1. Ephemera: Until recently the Library of Congress excluded items under 50 pages from their approval plan profile. When the dealers learned that the Library of Congress was interested in ephemera, we formed the Mexican Ephemera Consortium and offered a proposal to provide ephemera to the Library of Congress (copy attached). This proposal offers to provide 3600 pieces of ephemera per year. While the Consortium is waiting for an answer from the Library of Congress, we have collected over 450 pieces of ephemera which is ready for shipment. The ephemera we can provide covers both Mexico and Central America.

2. Government Documents: Any publication by the national, state or municipal entities could be said to be a government document. Given the nature of publishing in Mexico, this would be so inclusive as to be ridiculous and confusing, as many monographs are published by government entities. Accordingly, we confine our definition of government documents to publications that deal with some aspect of a government or agency within the government. This would include Informes and Memorias at national, state or municipal level, directories, statistical works, manuals, studies of agencies or special departments of governments. It should be noted that many of these government documents are also serials and/or are regional in nature and thus will show up in several categories in our attached statistical summary. These materials are difficult to obtain, but we feel we are doing a good job providing them. We admit there is always room for improvement, but we attempt to obtain everything and there is no

evidence that a Mexico City office could do anything more than possibly marginally augment our offerings.

3. Academic Presses: Academic presses are among the most common offerings of all bookdealers. Our statistical table will show a large number of academic press items are available from current bookdealers. A possible exception is scientific academic presses mentioned in Adleson's letter to Mary Price of January 29, 1990. Dr. Adleson's letter adequately deals with this matter (letter attached).

4. Provincial Presses: Provincial presses have never been better covered in Mexico. Mexico Sur/Norte was specifically formed at the urging of the Library of Congress and other research libraries. It has a full-time office in Oaxaca. It has issued 6 Sur lists and 6 Norte lists in the past year covering the states of Yucatan, Campeche, Quintana, Roo, Tabasco, Chiapas, Oaxaca, Guerrero, Sonora, Sinaloa, Baja California, Baja California Sur, Tamaulipas, Nuevo Leon, Coahuila and Chihuahua. The states of Zacatecas, Durango and San Luis Potosi will be added in 1990. In addition, 2 retrospective Sur catalogues and 1 retrospective Norte catalogue have been issued. Libros Latinos gives special coverage to the states of Jalisco and Baja California and Baja California Sur. Books from Mexico gives special coverage to the states surrounding Mexico City. Other dealers sell provincial material as well. The statistical summary will indicate the amount of provincial coverage available. There is no reason to believe that a Mexico City office could give adequate coverage in this area. Provincial coverage requires extensive travel, book

experience and the dedication and hard work that only motivated private business can provide adequately.

5. Serials: Serials are the most difficult for bookdealers to completely cover. A Library of Congress field office in Mexico City could be very helpful with this category. Specifically such an office could be most helpful covering daily newspapers. Some specialty magazines could undoubtedly be provided with a field office's help. Our statistical summary will indicate that the bookdealers give basic coverage.

Another area of difficulty has been the lack of plan and budget for the proposed office. How is it possible to propose an annual expenditure of at least $490,000 without an extensive plan and budget? Up to this date, despite repeated requests, we have not seen a plan or budget of any use for the purpose of judging the merits of the proposed overseas office in Mexico City.

The difficulties of obtaining information began in December, 1988 when Elmendorf wrote to Filstrup (copy attached). That letter was not answered until June 20, 1989 (copy attached).

In the meantime SALALM (Seminar on the Acquisitions of Latin American Library Materials) held its annual conference in Charlottesville, Virginia. Mr. Filstrup and several other members of the Library of Congress made a presentation to the Conference. That presentation was taped and a transcript of the tape is available in Congressman Jerry Lewis' office. It is apparent that the majority of the specialist librarians present had grave doubts about the field office as proposed. Specific doubts were

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expressed concerning the proposed sales activity of the field office. At the final session of the conference a resolution was unanimously adopted and sent to Dr. Billington the Librarian of Congress (copy attached). A plan and budget was asked for and was not available or presented to the attending librarians.

On June 6, 1989, Elmendorf wrote to Dr. Billington concerning the lack of an available plan or budget (letter attached). Dr. Billington answered that letter on August 17, 1989. In the meantime Mr. Filstrup had sent the briefest of plans and budgetary material which only indicated 15 employees and a budget of approximately $490,000 annually. There was no indication of the employees' job descriptions or any of the normal logistics of a major office. There was no real budget breakdown that indicated how the money was to be spent. There was no indication of an acquisitions budget if the field office was to buy and distribute books. We expected a plan and budget similar to the one presented by the Latin American Bibliographic Foundation to NEH requesting a grant to compile the NICARAGUAN NATIONAL BIBLIOGRAPHY, 1800-1978. A copy of the NEH plan and budget is on file in Congressman Lewis' office.

On January 5, 1990, Mr. Filstrup, Mr. Bonham and Mr. Hemperly met at Redlands, California with three bookdealers; Mr. Elmendorf, Mr. Vijil and Dr. Adleson. Prior to that meeting Mr. Filstrup had been asked twice by telephone to send ahead a plan and budget. None arrived and at the meeting it was specifically stated that the plan and budget were in the works, but that in Mr. Filstrup's opinion they belonged to the committee on appropriations and that we would have to request a copy of the plan from them. (Letter to Mary Price of January 12, 1989 attached).

At a meeting in January 1990 in Mexico City, Mr. Filstrup evidently mentioned a five page plan and Mr. Lombard questioned the adequacy of the size of the plan.

We have now requested a copy of the plan and budget by telephone to Congressman Jerry Lewis' office and hope that the members of congress have at last received the plan and budget and can forward a copy to us.

We are attaching brief business biographies of the bookdealers represented.

In conclusion, we would like to state that we hope this testimony makes our position in opposition to the Library of Congress as a bookdealer in Mexico City clear. We hope our position in support of a Library of Congress field office in Mexico City without acting as a bookdealer is equallw clear.

Respectfully submitted,

George F. Elmendorf
Mexico Sur/Norte

also representing:

Alfonso J. Vijil
Libros Latinos

Alfonso J. Vijil and Joan Quillen
Libros Centroamericanos

S. Lief Adleson
Books From Mexico

Fred G. Morgner and Sandra Jane Pike
Literatura de Vientos Tropicales

Allen R. Boyd
Caribbean Imprint Library Services

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DOCUMENTS SUPPORTING TESTIMONY OF:

GEORGE F. ELMENDORF AND S. LIEF ADLESON

MEXICO SUR

P. O. Box 1682
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January 31, 1990

Statistical Summary of Mexican and Central American titles offered during the last year by Mexico Sur/Norte, Libros Latinos and Libros Centroamericanos with a selected list breakdown of provincial presses, academic presses, government documents and serials.

Mexico Sur/Norte

Total titles offered:	3,709
Sur - 2,214	
Norte - 1,495	

Libros Latinos:

Total titles offered:	5,148
Mexico - 5,148	

Libros Centroamericanos

Total titles offered:	2,066
Serials offered - 224	

Breakdown of combined Mexico Sur/Norte and Libros Latinos selected 4 lists; 2 lists were selected from each company.

Total titles offered in 4 lists 1,066

Provincial Presses	Academic Presses	Government Documents	Serials
823 = 77%	340 = 32%	175 = 16%	68 = 6%

The lists chosen for analysis were:

Mexico Sur Norte

List 4 Sur: Oaxaca, Chiapas and Guerrero
List 4 Norte: Tamaulipas

Libros Latinos

List 165: Jalisco
Catalogue 140: Baja California

A deadline set by Congressman Fazio made it important to select lists rather than break down all the lists involved. The lists were chosen as representative of the regional offerings of the two companies. No breakdown was done for Libros Centroamericanos except serials which are listed separately in their catalogues.

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Each title in each of the selected lists is color coded as follows: Yellow for provincial presses; orange for academic presses; pink for government documents; purple for serials. It should be noted that some titles carry more than one designation by their nature so that the breakdown totals do not add up to 100%. We believe this analysis by types demonstrates a thorough and professional coverage for the areas under consideration. The only area which may be called weak is serials as no newspapers are represented. Copies of the selected lists and all lists which contributed to the grand totals of Mexico Sur/Norte, Libros Latinos and Libros Centroamericanos are available for examination at the office of Congressman Jerry Lewis in Washington, DC.

MEXICAN EPHEMERA CONSORTIUM
Apartado Postal 22-037 Delegacion Tlalpan 14000 Mexico, D.F.

5 January 1990

Mr. Terry C. Peet
Hispanic Acquisitions Program
The Library of Congress
Washington, D. C. 20540

Dear Terry,

This is a proposal to supply Mexican ephemera to the Library of Congress.

Non-commercial and non-book publications frequently represent rich documentation of social, cultural, and political processes overlooked, neglected, or relegated to minor importance in newspapers, books and serial publications. The founders of the Mexican Ephemera Consortium applaud the interest shown by the Librarian of Congress to have the nation's foremost library begin collecting, microfilming, and disseminating to scholars these kinds of materials from Mexico. In order to facilitate this process, we make the following proposal to supply non-commericial publications from Mexico City to the Library of Congress. We are uniquely qualified to make this offer. The principal promoters of the Mexican Ephemera Consortium are the respective heads of the four most important companies supplying publications from Mexico and Central America to university and research libraries around the world. S. Lief Adleson is owner of Books From Mexico, George Elmendorf is owner of Mexico Sur; Joan Quillen is owner of Libros Centro Americanos, and Alfonso Vijil is owner of Libros Latinos.

Collectively they have more than forty years experience in the Latin American book trade. The project coordinator, S. Lief Adleson, has lived in Mexico City for more than 14 years and has been active in the Mexican book business for more than a decade. He received a doctorate in history from El Colegio de Mexico and has written extensively on the social history of Mexican industrial workers. His academic work has made extensive use of historical non-commercial publications, similar to those covered by this proposal. In addition, his company has supplied for several years these kinds of non-commercial publications to Princeton University. Although the arrangement with Princeton recognizes the non-systematic, non-comprehensive collection methods employed, the experience has provided ample opportunity for learning the nature and sources as well as the collection techniques necessary for identifying and acquiring non-commercial publications in Mexico City.

Posters, handbills, flyers, pamphlets, leaflets, position papers, information sheets, bulletins, newsletters, bumper stickers, and lapel buttons represent the bulk of this class of non-commercial publications. They will be referred to collectively herein as ephemera and grey literature.

This proposal offers to supply an average of 300 pieces of ephemera per month to the Library of Congress. Most will originate from the Mexico City metropolitian area. The consortium will deliver the ephemera monthly to the Library of Congress for an annual fee of $17,500, to be paid in twelve installments, upon receipt of each month's material. Remittance of the ephemera will commence three months after acceptance of this proposal. Payments should be sent to the Mexican Ephemera Consortium, 812 West Figueroa Street, Santa Barbara, California 93101. An invoice will accompany each package.

From experience in the field, the consortium has identified six areas of Mexican social, political, and cultural activity from which it will provide ephemera. These include women's groups, anti-nuclear movements, labor and workers' activities, political parties, urban groups, environmental causes, and youth groups.

Women's Groups. During the past decade many women in Mexico City joined affinity groups which define women's issues and provide support for their members. Although not limited to these, principal activities center around practical aspects of surviving in a male dominated society: instruction in self defense, female crisis intervention, pregnancy and abortion counciling, and support for victims of rape and abuse. These groups produce pamphlets, informational sheets, and other kinds of printed matter for their memebers which are not available commercially. In addition, other intellectually oriented women's groups produce feminist poetry, short stories, theoretical discussions concerning women's issues, and occasionally, history. While much of their production finds its way into commercial publications (most notably the monthly periodic publication Fem, and anthologies of women's poetry), some is only produced for limited distribution in the form of mimeographed or photocopied texts.

Anti-nuclear Groups. Opposition to Mexico's nuclear electric power generating plant in Laguna Verde, Veracruz is organized and vociferous. Several groups are active in Mexico City. They produce printed materials ranging from book length manuscripts, bumper stickers, two- and three-page hand outs, to posters, song sheets, lapel buttons, and book bags.

Labor and Worker Activities. While the Mexican national labor confederation (Confederación de Trabajadores de México) does publish and distribute some titles, the majority of Mexican grey literature in this field is produced by organizations not affiliated to it. Striking industrial workers often mimeograph informational bulletins which they distribute in working class neighborhoods or hand out on subway trains in exchange for solidarity donations. In addition, at least one worker informational group compiles data on the Mexican labor movement. It prints a periodic newsletter which includes information on working conditions, industrial conflicts, inter-union strife, labor leader corruption, and general analyses of political events affecting the Mexican working class. Smaller, independent unions and labor federations also print informative circulars for their members.

Political Parties. The national political reform movement initiated in 1982 has expanded the political process in Mexico City. Political parties, splinter groups, and affiliated organizations on the right, center, and left have proliferated. They publish materials reflective of their ideological positions on a broad spectrum of subjects. Their handbills, pamphlets, position papers, flyers, and posters cover topics ranging from the national foreign debt to neighborhood construction projects; from national electoral reform to policy positions regarding street vendors and political prisioners. In addition, several parties have begun producing political bumper stickers as a means of maintaining their name and stance on selected issues before the eyes of the driving public.

Urban Groups. It is not surprising that many community interest groups have emerged in Mexico City. It is one of the most populous urban centers in the world. Since government agencies have been unable to meet demands for municipal services, pressure groups try to influence the allocation of resources. Besides lobbying for such public services as electicity grids, water and sewer connections, and street paving, these community associations form self help and self defense structures at the neighborhood level. Among other methods, they write and circulate information sheets, print and post broadsides, and publish newsletters in order to keep their members informed and easily mobilized.

Environmental Groups. Increased awareness has brought environmental issues to the forefront of political and civic life in Mexico City during the past ten years. Many environmental groups nurture public consciousness of air pollution and water quality problems through print media. To overcome litaracy deficiencies and to foster concern from early ages, several environmental associations use cartoon and comic book formats to reach people with minimal reading skills. At the other end of the spectrum, some environmental societies conduct their own scientific studies in order to generate an independent informational base with which to analyze specific aspects of the overall problem. Much of these materials remains unpublished.

Youth Groups. Over half of the Mexican population is under 15 years of age. Youth gangs are an important social phenomenon arising during the past five years. Although generally oriented more toward action than the written word, several youth groups do produce handbills, posters, and poetry and prose pamphlets. Some neighborhood associations sponsor writing and theater workshops for young people. Their production is occasionally printed in mimeograph form. Additionally, agencies of the Mexican government carry out anti-drug, AIDS education, and family planning campaigns aimed at Mexican youth.

The documentation produced in the promotion of these six areas of activity in Mexico City provides unique testimony of social, cultural, and political events frequently underrepresented in U.S. library collections. The Mexican Ephemera Consortium believes that this material is valuable, merits collection and cataloguing, and should be made available as quickly as possible to the scholarly world. We believe that the Library of Congress is the most suitable institution to do this, inasmuch as thousands of libraries throughout the country rely on the Library to perform these kinds of functions so that their own collections are more complete and accessible to the entire population of the United States.

If the Library chooses not to become a depository of this material, could you make a suggestion as to another institution which would be capable and willing to collect, catalog, and offer it to scholars.

If you do accept this offer, please send a signed copy to the Mexican Ephemera Consortium, Apartado Postal 22-037, Delegacion Tlalpan, 14000 Mexico, D. F. MEXICO. Thank you.

Sincerely,

S. Lief Adleson

S. Lief Adleson
for Mexican Ephemera Consortium
dated: 5 January 1990

name:
for The Library of Congress
dated:

BOOKS FROM MEXICO *S. Lief Adleson*

812 West Figueroa Street ∴ Santa Barbara, California USA 93101

29 January 1990

Ms. Mary Price
Director of Acquisitions
The Library of Congress
Washington, D. C. 20540 U.S.A.

Dear Ms. Price,

This is summary of my conversations in Mexico City on 10 January 1990 with representatives of the Library of Congress and legislative aides. Mr. S. Christian Filstrup, Mr. John O. Hemperley, Mr. Edward O. Lombard and Mr. Jerry Bonham attended. I write this to you for two reasons. First, I believe that you are Mr. Filstrup's superior at the Library of Congress. Second, I want you to be aware of important issues concerning plans by the Overseas Operations Division to set up a field office in Mexico.

Here are the salient points we covered. Mr. Filstrup reiterated his belief that a participatory program by a Library of Congress field office in Mexico would be beneficial to established book dealers. To explain his statement, Mr. Filstrup stated that such an office would identify more Mexican publications than book vendors now offer. As a result, the volume of publications sold by book dealers would increase.

However, dealers already supply about 90% of suitable Mexican publications. Consequently, I said that I did not think the additional percentage margin was worth Library of Congress expense.

Furthermore, I did not see how, as a book dealer, I would benefit by selling at a discount to the LC field office in Mexico, publications which formerly I had supplied directly to my blanket order customers. In response, Mr. Filstrup suggested that the supposed volume increase, plus a reduction in administrative costs, would translate into savings for my enterprise.

I told him that by employing microcomputers I had already realized the type of administrative savings about which he was talking. Additionally, I have structured my business and its method of operation on volume sales. Indeed, Books From Mexico has successfully made a radical departure from past practices in the trade. We now service blanket orders with 32 university and research libraries in the U.S. and Europe. This is more than any other book vendor working in Mexico has ever had.

Apdo. Postal 22-037 ∴ Deleg. Tlalpan ∴ 14000 México, D.F. ∴ MEXICO

The fact finding group also stated that they believed that Mexican university publications were poorly distributed in the U.S. I strongly disagreed with this conclusion. They confirmed the source of their erroneous impression when they related the lament of the Mexican national university's science librarian. They had attended a breakfast meeting that day with, among other people, Elsa Barbarena.

She had bemoaned the poor distribution in the U.S. of books and journals under her management. This sounded logical to me, as many of the publications which she handles are technical journals which contain little or no new scientific information not published in English. Furthermore, I had dealt professionally with Ms. Barbarena and was familiar with her situation.

Despite promises and best intentions to the contrary, I had had difficulties buying books and serials from her. While she may be a fine academic and a competent administrator, she is not in the business of selling books. I ran into many obstacles while trying to carry out a distribution arrangement through her which I had negotiated with the university administration. I finally resumed acquisition efforts by individually visiting each of the 17 research centers and institutes under her library's aegis.

The most important point brought up in the meeting was in response to a question posed by Mr. Lombard. He wanted to know specifically why I rejected Mr. Filstrup's contention about the supposed benefits of a field office participatory program. I explained the basic doctrine which has placed my business in the forefront of the industry. I operate on the principle that I do not sell books; rather, I sell bibliographic services. Books are merely the manifestation of that service.

This concept means that my company spends as much money providing services to bibliographers and libraries as it does getting publications. Since I began implementing this unique scheme, Mexico has ceased to be a black hole for library professionals. My staff and I send over 4,000 letters each year. We invest considerable time and energy to hunting down books and to communicating information so our customers can make informed acquisitions decisions. Among other services, we offer the following:

*current imprints and out-of-print Mexican publications;
*subscription and standing order services for selected serials and journals;
*advice to blanket order customers about publications excluded under the terms of the supply agreement, but which we feel are of potential interest to their collections;

*reduction of duplications between formal orders and
blanket order shipments;
*searches for, and quotes on out-of-print publications;
*identification of unrevised reprints camouflaged as
new editions;
*acceptance of returns due to accidental duplication;
*investigation of status of numbered series.

I pointed out that Mr. Filstrup's plan for the Mexico field office tries to separate the product from the service component. Since my company functions on the basis of integration of these elements, I oppose crippling a system which librarians have applauded and which has brought me success.

Mr. Filstrup himself realized the incongruity of his position. On the one hand he affirmed the projected field office's dependency on established dealers for identification and acquisition of books. On the other hand, he is promoting a relationship in which he envisions that dealers will simply deliver a product to the field office's doorstep. This inconsistency has its roots in the fact that the field office would operate in the same commercial market as the book dealers. Therefore, to succeed financially, it would have to offer enticements to potential customers. Reduced prices are an attractive appeal. And, according to the scheme, the field office can best reduce prices by purchasing books more cheaply from dealers.

Currently, the selling price of the books I handle covers the cost of the enhanced services my firm provides. I am unwilling to convert my enterprise into a non-thinking, go fetch 'em delivery company. From what I have read and heard, I have the impression that the book selling aspect of the Mexico field office would depend on enticing companies into playing this role. Such a scenario, I believe, would put libraries, book dealers, and the Library of Congress back to where we were ten years ago.

Finally, I did acknowledge roles for a Library of Congress field office in Mexico. Off-shore cataloging may mean a lower wage bill in the long term. I am unsure of its cost effectiveness in the short and medium term, however. The paucity of qualified personnel in Mexico necessitate a costly training program. However, if the library accepts the Mexican Ephemera Consortium's proposal to supply fugitive literature, this material will need extensive cataloging which can probably best be done in Mexico.

Distribution to U.S. research libraries of many Mexican newspapers and periodical publications is inadequate. Here a Library of Congress field office could make significant contribution to acquisitions efforts. In the meeting I stated that I would like to see a Library of Congress field office in Mexico undertake this long neglected task.

Again, these are the chief points we dealt with in our conversations. I send them to inform you of key matters concerning Library of Congress plans to set up a field office in Mexico.

Yours sincerely,

S. Lief Adleson
BOOKS FROM MEXICO
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December 30, 1988

Mr. Christian Filstrup
Chief
Overseas Operations Division
Library of Congress
Washington, DC 20540

Dear Mr. Filstrup:

Several librarians specializing in Latin America have recently brought to my attention that the Overseas Operations Division is proposing to open a field office in Mexico similar to the one that currently exists in Indonesia. If my information is correct this proposed field office is budgeted at approximately $400,000 per year. The proposal, as I understand it, will have the field office not only buy materials for the Library of Congress, but will distribute materials to other libraries in the United States. On the face of it, this contradicts the free enterprise philosophy of the United States.

Perhaps such a field office could be justified if it could be demonstrated that the coverage in Mexico is so poor and so unlikely to improve that there is no other way to obtain the materials that the Library of Congress needs. In fact, there is a coverage problem in Mexico, but it is not a coverage problem in Mexico City and close-by areas. It is a problem in coverage of the more outlying states. It is a problem because it is not efficient to try to cover a country as large as Mexico from Mexico City.

Precisely for the above reasons, and with the advice and encouragement of a number of specialists librarians in the field of Latin America, I founded Mexico Sur. Based on my field research and some fifteen years as a specialist bookseller dealing with Latin America, I determined that Mexico must be covered regionally and the dealer should live in the region to operate efficiently. Thus, in 1989, Mexico Sur will be physically located in Oaxaca, Mexico. (I have talked with several other experienced book dealers who are strongly considering opening regional businesses in Mexico in the regions of Mexico Norte and Mexico Central. I believe that within a year private enterprise will have solved the basic coverage problem).

A secondary coverage problem is breadth of coverage. For a variety of reasons the Library of Congress is not interested in collecting small poetry pamphlets of say ten pages. Nor are they interested in collecting technical material on nematodes in Chiapas or technical guides to agricultural projects in Oaxaca. We offer all these materials in our lists because we have institutional and private clients in the United States, Canada, Latin America, Europe, Japan and Australia that are very interested

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in these materials. Does the Library of Congress propose to buy only those materials in which it is interested and offer extra copies to other libraries, or does it become a speculative bookdealer with all its attendent problems of overhead and loss and drive out all the private bookdealers? Loss of specialized coverage is important to libraries and one could envision first amendment problems.

Another major problem is cost effectiveness. Mexico Sur, with full coverage for the six states in monographs and serials, including subscriptions, will cost the Library of Congress no more than $5,000 per year. If we extrapolate to the proposed other neglected regions of Mexico Norte and Mexico Central, we have a total cost of distribution by privage dealers for Mexico outside of Mexico City and its environs of $15,000 per year. If we add the well-covered Mexico City area we still would be well below $100,000 per year.

I have done research at the Library of Congress for months at a time over a number of years and have the highest regard for the fine collection there. The Library of Congress has large responsibilities in cataloging and subject heading as well as collecting. It is my opinion that in terms of cost effectiveness and coverage, the Library of Congress can best be served by encouraging and using experienced dealers on a regional basis in Mexico for collection purposes. It can then direct scarce economic resources to the other aspects of its mandate.

I realize that some of the information contained in this letter may not have been available to you when the field office proposal was made. I make my observations and suggestions in the spirit of collegiality and hope that they are of use to you.

If you have any questions or need any further information, please feel free to contact me and I will respond immediately.

Sincerely,

George F. Elmendorf

THE LIBRARY OF CONGRESS
WASHINGTON, D.C. 20540

OVERSEAS OPERATIONS DIVISION

June 20, 198

Dear Mr. Elmendorf:

This is a response to your letter of December 30, 1988. As I mentioned in Charlottesville, I had not read it. Upon returning to Washington, I found it in our files. It must have arrived while I was abroad and been accidentally filed. I apologize for the lack of a prompt response.

As I stated at Charlottesville, I appreciate the concern of private dealers such as yourself. If a Mexican office is appropriated, I have no intention of using it to take away business from established commercial book dealers. All of our field offices acquire materials for the Library of Congress from commercial dealers. If the distribution of these materials to other libraries in the United States is adequately handled by commercial dealers, the field office will not set up a participant program. In our other offices, we have established participant programs only to the degree that they fill unmet research needs among university and research libraries.

Looking at the entire region of Mexico and Central America, it seems to me counter-intuitive to say that a regional office will not improve acquisitions for the Library of Congress and possibly for other libraries in the United States. Our offices have proved themselves adept at ferreting out non-commercial publications that dealers find unprofitable to handle. The popular movements ephemera collected and organized by the Rio office is a case in point. With a regional office, Library also stands to reap savings in processing and cataloging costs. So I am still strongly committed to a Mexican office, and I am equally strongly convinced that the establishment of an [illegible] ou or any other dealer.

Enclosed are copies of the relevant sections of the Library's FY90 budget request and subsequent hearings.

Sincerely yours,

Chris Filstrup

E. Christian Filstrup
Chief, Overseas Operations

Mr. George F. Elmendorf
Mexico Sur
P.O. Box 1662
Redlands, CA 92373

cc: C. Blasier
J. McDermott
M. Price

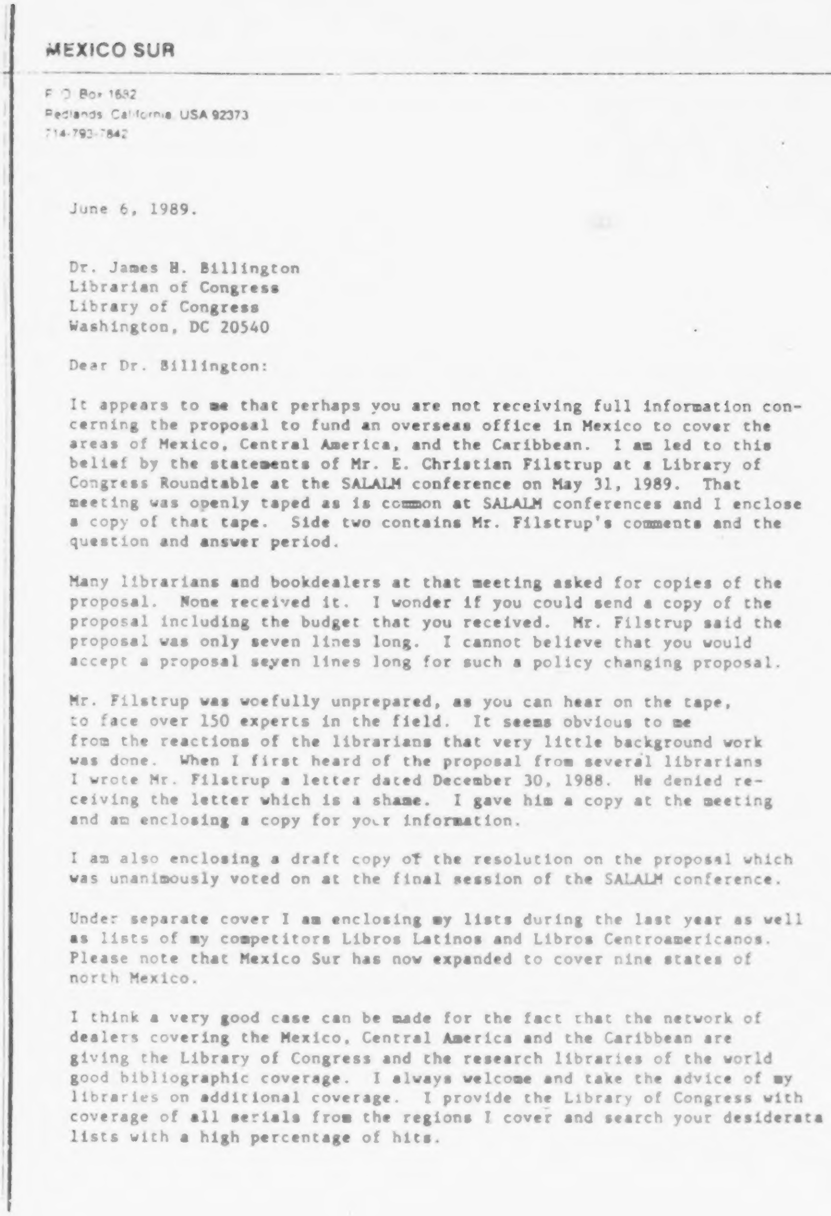
Enclosures

OMNI HOTELS
GAVEL SERVICE

Resolved:

That SALALM express immediately to the Librarian of Congress its serious reservations over the proposed multiple acquisition activities of a new Mexico-Central America regional office and an expanded Rio office; that SALALM over the last 34 years has encouraged Latin American and U.S. book distributors to improve coverage of the Latin American book publishing world; that many booksellers have served U.S. libraries and vastly improved scholarly collections through their efforts; that activities by LC offices in Mexico and in Rio need to concentrate on activities which ~~[illegible]~~ will promote rather than inhibit these enterprises.

1-800-THE-OMNI



MEXICO SUR

P. O. Box 1682
Redlands, California USA 92373
714-793-7842

June 6, 1989.

Dr. James H. Billington
Librarian of Congress
Library of Congress
Washington, DC 20540

Dear Dr. Billington:

It appears to me that perhaps you are not receiving full information concerning the proposal to fund an overseas office in Mexico to cover the areas of Mexico, Central America, and the Caribbean. I am led to this belief by the statements of Mr. E. Christian Filstrup at a Library of Congress Roundtable at the SALALM conference on May 31, 1989. That meeting was openly taped as is common at SALALM conferences and I enclose a copy of that tape. Side two contains Mr. Filstrup's comments and the question and answer period.

Many librarians and bookdealers at that meeting asked for copies of the proposal. None received it. I wonder if you could send a copy of the proposal including the budget that you received. Mr. Filstrup said the proposal was only seven lines long. I cannot believe that you would accept a proposal seven lines long for such a policy changing proposal.

Mr. Filstrup was woefully unprepared, as you can hear on the tape, to face over 150 experts in the field. It seems obvious to me from the reactions of the librarians that very little background work was done. When I first heard of the proposal from several librarians I wrote Mr. Filstrup a letter dated December 30, 1988. He denied receiving the letter which is a shame. I gave him a copy at the meeting and am enclosing a copy for your information.

I am also enclosing a draft copy of the resolution on the proposal which was unanimously voted on at the final session of the SALALM conference.

Under separate cover I am enclosing my lists during the last year as well as lists of my competitors Libros Latinos and Libros Centroamericanos. Please note that Mexico Sur has now expanded to cover nine states of north Mexico.

I think a very good case can be made for the fact that the network of dealers covering the Mexico, Central America and the Caribbean are giving the Library of Congress and the research libraries of the world good bibliographic coverage. I always welcome and take the advice of my libraries on additional coverage. I provide the Library of Congress with coverage of all serials from the regions I cover and search your desiderata lists with a high percentage of hits.

MEXICO SUR

P O Box 1682
Redlands California USA 92373
714 793-7842

Page 2

Dr. James H. Billington
Librarian of Congress

I have strongly supported the Library of Congress for over twelve years. I was owner and operator of Libros Latinos for many years. I founded the Latin American Bibliographic Foundation which compiled the Nicaraguan National Bibliography, 1800-1978. John Hebert of the Library of Congress is president of the board of directors of the Foundation. We recently donated 52 copies of the bibliography to the Library of Congress to use in their exchange program. My new company, Mexico Sur, holds a blanket order from the Library of Congress for my areas of work and I am told that I am doing a very good job.

I strongly support additional funding for the Library of Congress to purchase and catalog books for the Hispanic Division. I cannot support a budget which proposes to set up an office in Mexico to act as a bookdealer. It is in my opinion, a poor use of tax funds and completely against the philosophy of private enterprise.

I strongly urge you to reconsider the proposal. If there is any way I can be helpful in providing additional information, please call on me.

Sincerely,

George F. Elmendorf

cc: Henriette D. Avram
William Sittig
E. Christian Filstrup
Cole Blasier
Terry Peet

enclosures

THE LIBRARIAN OF CONGRESS
WASHINGTON, D.C. 20540

August 17, 1989

Dear Mr. Elmendorf:

Thank you for your letter of June 6. I am responding to it point by point.

As for the budget proposal, you should have received a copy from Mr. Filstrup. Though brief, it reflects a great deal of discussion within the Library. It does not mark a change in policy. The Library has maintained overseas offices since 1961. These offices have played central roles in developing area programs for the study of Southeast Asia, South Asia, the Middle East, and East Africa. Establishing an office to cover Mexico and Central America would extend the expertise we have gained from the existing offices to Latin American studies and research.

I cannot agree that Mr. Filstrup was woefully unprepared. Of course he could not answer statistical claims with counter claims. I think you and others at the meeting mistook the Library's request for a new office as a depreciation of existing acquisitions arrangements. At the meeting, Mr. Filstrup made clear that he expected a new office to strengthen acquisitions of non-commercial publications while working with existing dealers to channel commercial publications to the Library of Congress. The office could serve other university and research libraries through a cooperative acquisitions program on the model of programs which serve the needs of other area specialists.

Worldwide, our field offices make extensive use of commercial dealers, over sixty in all. These dealers enjoy good relations with the offices and reportedly make good profits. Rather than undermine the private sector, a field office invigorates it by increasing common knowledge of the bibliographic production of a region. A network of strong commercial dealers frees the office to concentrate its energies on non-commercial publications, the acquisition of which is too labor-intensive for dealers to handle profitably.

For example, over the last four years, the field office in Rio de Janeiro collected and organized for filming a large set of pro-democracy and human rights ephemera that otherwise would never have reached American research libraries. Starting this fall, the Rio office will offer Brazilian newspapers and periodicals that dealers cannot adequately supply.

A further use of a field office in Mexico would be to catalog publications where language expertise is readily available. One of my primary objectives over the next few years is to reduce the Library's arrearages. A field office covering Central America and Mexico would be an important means to that end.

In sum, a field office in Mexico will not disrupt the Library's relationship with Mexico Sur or any other creditable dealer. I appreciate the good service you have given the Library and the generous donation of your Nicaraguan bibliography, and I look forward to continuing a spirit of cooperation and trust.

Sincerely,

James H. Billington
The Librarian of Congress

Mr. George F. Elmendorf
Mexico Sur
P.O. Box [illegible]
Redlands CA 92373

cc H. Avram
W. [illegible]
C. Filstrup
[illegible]
[illegible]

Libros Latinos

January 12, 1990

Mary Price
Director of Acquisitions
The Library of Congress
Washington, DC 20540

Dear Ms. Price:

A meeting was held in Redlands California on January 5, 1990. Present at this meeting were Lief Adleson (Books from Mexico), Alfonso J. Vijil (Libros Latinos and Libros Centroamericanos), George F. Elmendorf (Mexico Sur/Norte), Jerry L. Bonham (Staff of US Senate Committee on Appropriations), Christian Filstrup (Overseas Division, Library of Congress), and John O. Hemperley (Budget Officer, Library of Congress). Ed Lombard (Staff of the US House of Representatives Committee on Appropriations) was sick and could not attend. We spoke with him on the phone.

This letter is to clarify certain statements or implications made by Mr. Filstrup as follows:

1. The budget of the proposed office in Mexico City of the Overseas Division would be much more ample than the current Library of Congress budget for Mexico, Central America and the Caribbean. The implication was that the bookdealers present could expect to sell more material. This was repeatedly stated as was the assertion that expanded sales have always been the case where Overseas Division offices have been opened.
2. The proposed Overseas Division office in Mexico City would not be bound by the Library of Congress profile on approval plans. Specific mention was made of items under 50 pages.
3. Although there was no complete plan or budget for the proposed Overseas Division office in Mexico City, there was one in the works in the Library of Congress. Mr. Filstrup clearly stated that the Library of Congress considered that this plan and budget, when ready, would be presented to the Conference Committee on Appropriations and belonged to that committee. Any person who wished a copy of that plan and budget would have to write to the Committee. That is to say that the Library of Congress would not be willing to furnish copies of the plan/budget for the proposed office in Mexico City.

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Libros Latinos

4. Mention was made of a morning meeting on January 5, 1990 at UCLA where some unnamed representative of public libraries in the state of California had spoken of some $250,000 in annual unspent funds. The implication was that the booksellers present could expect to sell the needed books and receive those funds if the Overseas Division were to have its proposed office in Mexico City.

None of the booksellers at the Meeting object ot the Library of Congress opening an office in Mexico City. The booksellers only object to the Overseas Division operating as a bookseller. This activity would, at a large cost that could probably be better spent, duplicate the existing acquisitions efforts of the Library of Congress. In addition, it would place a layer between any institutions that utilized the proposed "co-operative acquisitions" aspect of the proposal and the booksellers who currently hold blanket or approval plans. There are other objections to this aspect of the proposal which we will be happy to detail if you should request them. There are, undoubtedly, many useful things which a Mexico City office could accomplish and you can be sure the booksellers will cooperate fully as long as there is no bookselling aspect to the office.

Regarding item number 1 on the previous page, the booksellers would be happy to deal with an increased Library of Congress budget for the region, but we would prefer to continue with the present arrangement. There are always new items to find and new sources to locate. You may be sure that we collect exhaustively and will continue to do so.

Regarding item 2 on the previous page, if the Library of Congress wishes to change its profile, the holders of approval plans will conform to the new profile.

Regarding item 3 on the previous page, the booksellers find it hard to understand how there would not yet be a plan and budget on a proposal that has been in the works more than a year. The Congress has mandated a plan and we requested a copy of the plan and budget. Now Mr. Filstrup tells us we must write our congressmen. We are going to advise SALALM members of this requirement. It does not seem to us to be the most cooperative method of handling this important proposal.

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Libros Latinos

Regarding item 4 on the previous page, the booksellers would not feel ethically comfortable unless the orders were generated from the public libraries themselves. In fact, there is a network of booksellers who specifically sell to public libraries. Perhaps it might not be appropriate for the Overseas Division of the Library of Congress to broker state public library monies.

We appreciate any questions or clarifications you might have and hope we can be of assistance to you.

Sincerely,

Alfonso J. Vijil
Libros Latinos and Libros Centroamericanos

George F. Elmendorf
Mexico Sur/Norte

P.O. Box 1103, Redlands, California 92373, U.S.A. • Telephone: (714) 793-8423

MEXICO SUR

P.O. Box 1682
Redlands, California, USA 92373
714-793-7842

MEXICO SUR/NORTE

Established 1988

Joint Venture: Joan Quillen and George F. Elmendorf

Offices:	Main Office: P.O. Box 1682, Redlands, California Mexico Office: Apartado Postal 931, Oaxaca, Oaxaca 68000
Employees:	Three part-time in Redlands, California Two full-time in Oaxaca One part-time in Oaxaca
Services:	Provides monographs, serials, government documents, newspapers, ephemera, etc. from all the states of Mexico, but principally Sonora, Sinaloa, Baja California, Baja California Sur, Chihuahua, Coahuila, Nuevo Leon, Tamaulipas, Durango, Zacatecas, San Luis Potosi, Guerrero, Oaxaca, Chiapas, Campeche, Tabasco, Yucatan and Quintana Roo. Offers blanket order and approval plans, subscription services, search services. Issues 12 lists per year covering the publishing years of 1980 to present. Issues 3 Retrospective catalogues per year covering the publishing years from 1979 and back.
Clients:	Over 200 universities and public libraries, government agencies, scholars, private collectors in the United States, Canada, Europe, Asia, Central America and Mexico.

BOOKS FROM MEXICO *S. Lief Adleson*

812 West Figueroa Street ÷ Santa Barbara, California USA 93101

BOOKS FROM MEXICO

Established: 1977.

Offices, U.S.A.: 812 West Figueroa St., Santa Barbara, CA
93101 Tel.: (805) 966-2869

Offices, Mexico: Apartado Postal 22-037, Delegación Tlalpan,
14000 México, D. F. Tel.: (905) 655-2937
Fax: (905) 573-2914

Sole proprietor: S. Lief Adleson

Employees:

MEXICO	U.S.A.
Full time: nine	Full time: one
Part time: two	Part time: one

Blanket order services

BOOKS FROM MEXICO is the principal supplier of Mexican publications to thirty-two university and research libraries in the U.S. and Great Britain.

Services:

- Current and out-of-print monographs, serials, music cassettes and records, government publications and documents.
- Search and quote services for out-of-print publications.
- Telephone, trade, industrial, and professional directories.
- Mexican government documents on microfiche.
- Specialized mailing services for publications acquired by bibliographers on acquisitions trips.
- Ephemera, fugitive literature, posters, handbills, leaflets, flyers.
- Subscription and standing order services for serials and journals.
- Monthly catalogs of recent acquisitions.

Customers:

500 university, public, and institutional research libraries, government agencies, scholars, and private customers in the U.S., Canada, Europe, South America, Asia, and Australia.

rev. 1/90

Apdo. Postal 22-037 ÷ Deleg. Tlalpan ÷ 14000 México, D.F. ÷ MEXICO

Libros Latinos

LIBROS LATINOS: REDLANDS, CALIFORNIA

Established 1974

Single proprietorship owned by Alfonso Vijil

Employees:	Five full time and several part-time employees.
Services:	Provides out of print and in-print monographs, serials, newspapers, music cassettes, etc. from Mexico, Central America, the Caribbean, South America, Spain and Portugal. Libros Latinos stocks over 60,000 titles and offers books through 35 catalogues and lists yearly.
Customers:	800 institutional and governmental customers in the United States and abroad. In addition Libros Latinos serves the private scholarly and bibliophile community. Provides search services and appraisals.

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Libros Latinos

LIBROS LATINOS - CARIBBEAN

Redlands, California

A Division of Libros Latinos

Services:	Provides current monographs, serials, newspapers, music cassettes etc. from Bahamas, Barbados, Bermuda, British Virgin Islands, Cuba, Dominica, Dominican Republic, Grenada, Guadeloupe, Haiti, Jamaica, Martinique, Mauritius, Netherlands Antilles, Nevis-Anguilla, Puerto Rico, St. Christopher, St. Lucia, St. Vincent, Trinidad and Tobago, Turk, Caicos, U.S. Virgin Islands, French Guiana, Guyana, Surinam. Stocks 7,500 titles from this area and has offered this material through 27 lists since 1987.
Customers:	300 institutional and governmental customers in the United States and abroad.

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LIBROS CENTROAMERICANOS

P.O. Box [illegible]
Redlands, California, USA 92373

LIBROS CENTROAMERICANOS

Established 1980

Partnership owned by Joan Quillen and Alfonso Vijil

Offices:	Main Office: Redlands, California. Acquisitions offices in Antigua, Guatemala and San Jose, Costa Rica.
Employees:	One in Antigua, Guatemala. One in San Jose, Costa Rica. One in Redlands, California. One in Tegucigalpa, Honduras - part time. One in Managua, Nicaragua - part time.
Services:	Provides current monographs serials, newspapers, posters, ephemera, music cassettes, etc. from Belice, Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica and Panama. Published Annual Central American Books in print, a compilation of all Central American titles published during the year. 1988-1989 edition lists 2000 titles. Libros Centroamericanos has offered over 6000 titles since 1986. Offers subscriptions to about 500 Central American Serials and Newspapers.
Customers:	800 institutional, governmental, and private customers in the United States and abroad.

Antigua, Guatemala 011-502-9-320-274 • Redlands, California 714-798-1342 • San Jose, Costa Rica

Mr. Fazio. Mr. Adleson?

Mr. **Adleson**. The company I own is named "Books from Mexico." Since 1982, it has been the principal commercial supplier of Mexican publications to the Library of Congress. I have lived in Mexico for 14 years and I earned a doctorate in history from El Colegio de Mexico. Currently, my firm is contractually the prime vendor of Mexican books to 32 university and research libraries in the U.S. and Europe.

The approval plans (also known as blanket orders) with these institutions authorize me to select and send them suitable publications within their collection profiles. Additionally, another 500 university, public and institutional research libraries, as well as government agencies, scholars and private individuals are customers in the United States, Canada, Europe, South America, Asia and Australia.

Years of experience, persistence, and capital investment in the field have yielded positive results. My competitors and I have overcome the obstacles of inadequate bibliographic control and centralization in Mexico and Central America.

We collectively offer at competitive prices 90 percent of all suitable publications from the region to university and research libraries in the U.S. and abroad. Before Congress is a proposal by the Library of Congress to establish a field office in Mexico. We book dealers do not oppose this.

Indeed, we believe here are important activities such an office should carry out. But we do object strenuously to those facets of the Mexican field office proposal which would make it a book seller.

This is unfair competition by a government agency against private enterprise.

Last Monday, in reference to Representative Boggs' statement on book dealer objections to the proposed field office, the Librarian of Congress stated that, "progressive businesses do not try to keep other people from starting new businesses." I agree.

This plan, if authorized and funded by Congress, would put its library into the business of buying and selling books from Mexico, Central America, and the Caribbean areas. This would use taxpayer monies to compete unfairly against established business enterprises.

In June 1989, among others, the Chief of the Overseas Operations Division of the Library of Congress participated in Charlottesville, Virginia in a round table discussion of the Seminar for the Acquisition of Latin American Library Materials (SALALM).

Over 150 bibliographers, librarians and other library professionals jammed the meeting room. The Library of Congress representative, Mr. E. Christian Filstrup, attempted to justify the need for a book selling role of a Mexico field office by alleging that commercial book vendors were not adequately supplying publications from the region. Many specialists bibliographers in the audience publicly refuted him.

They stated that there was no need for a book selling role for a Mexico field office because commercial book vendors are providing comprehensive coverage of the area.

Later, in a final session of the conference, those specialist librarians, whose professional mission is to identify and acquire publications from Latin America, unanimously adopted the following resolution: that SALALM express immediately to the Librarian of Congress its serious reservations over the proposed multiple acquisitions activities of a new Mexico-Central America Regional Office and an expanded Rio office; that SALALM over the last 34 years has encouraged Latin American and U.S. book distributors to improve coverage of the Latin American book publishing world; that many book sellers have served U.S. libraries and vastly improved scholarly collections through their efforts; that activities by L. C. offices in Mexico and Rio need to concentrate on activities which promote rather than inhibit these enterprises.

As a book vendor I oppose the so-called "participate program" of the proposed Mexico field office because I do not believe I would benefit by selling at a discount to the field office in Mexico, publications which formerly I had supplied directly to my blanket order customers.

The Chief of the Overseas Operations Division stated to me that a field office would sell Mexican publications to university libraries for less because it would use a U.S. embassy van to transport them, presumably under diplomatic cover, to the U.S. border for deposit into the U.S. Postal system.

Such a scheme according to Mr. Filstrup, would allow the Mexico field office to circumvent high Mexican Government red tape which I have to deal with daily. This blatant use of government equipment and personnel is unfair competition by a taxpayer-funded government agency against American private enterprise.

Moreover, the book selling component of the Mexico field office proposal does violence to my business philosophy. As I tell my customers, I operate on the principle that I do not sell books; rather I sell bibliographic services. Books are the manifestation of that service.

Hence, in addition to offering blanket order publications, I provide, among other services: out of print Mexican publications; subscription and standing order services for select ed serials and journals; advice to blanket order customers about publications excluded under the terms of the supply agreement, but which I feel are of potential interest to their collections; reduction of duplications between formal orders and blanket order shipments; searches for and quotes of out-of-print publications; identification of unrevised reprints camouflaged as new editions; investigation of status of numbered series.

Currently the selling price of the books I handle covers the cost of the enhanced services my firm provides. The book selling scheme of the proposed Mexico field office attempts to divorce the product from the service component. In fact, the promoters of the field office have stated that their main "participant program" interests are blanket order arrangements.

They do not contemplate offering an array of dealer services such as search and quote, out of print publications, non-solicited wants, et cetera.

Mr. Filstrup of the Library of Congress suggests that, if authorized and funded by Congress to go into business, he can use the prestige and influence of the institution to entice customers to his camp.

At the same time, in order to obtain the books for resale, he intimates to me that I can still salvage some of my livelihood by selling publications to the Mexico field office at a discount. I am unwilling to convert my enterprise into a non-thinking, "go fech 'em" delivery company.

I oppose crippling a system of service which librarians applause and which has brought me success.

This "participant program" proposal is ill conceived, poorly thought out, and promises to bring grief to all concerns. It is a waste of taxpayer's money.

It is a yearly budget of close to $500 thousand to save approximately $80 thousand.

It is unfair government competition against private enterprise. It deserves to be specifically restricted, if not excluded, from legislation related to Library of Congress budget matters.

Thank you.

Mr. Fazio. Thank you, Mr. Adleson.

You have stated your case very succinctly for us today. I want to thank you for your testimony and for your oversight of our budget process.

I can assure you that we will be giving this a lot of thought before we finally decide what we want to do on these issues.

PROPOSED LIBRARY OF CONGRESS OFFICE IN WEST AFRICA

WITNESSES

EDNA BAY, EXECUTIVE SECRETARY, AFRICAN STUDIES ASSOCIATION
GRETCHEN WALSH, AFRICANA LIBRARIAN, BOSTON UNIVERSITY

Mr. Fazio. I would like to call on Edna Bay, Executive Secretary of the African Studies Association; and Gretchen Walsh, African Librarian, Boston University, who is here to deliver testimony for Phyllis Bischof of U.C. Berkeley who is unable to be here today.

Ms. Bay. I am testifying on behalf of the African Studies Association, an organization of 2,500 individuals and institutions with an interest in African affairs. Most of the members are associated with institutions of higher education in the United States, though we do have members who are pursuing careers in government, most notably the United States Foreign Service, as well as with non-governmental agencies interested in development questions.

I am going to speak briefly on behalf of our membership at large. My colleague, Gretchen Walsh, will speak from the perspective of the most active committee within our organization, the Archives Library Committee. Its members teach, do research, make policy recommendations, and are otherwise active in African affairs.

Our ability to carry out our work with accuracy and insight is dependent upon our receiving current information about Africa. I would suggest the same is true for the Congress, and for all government agencies concerned with Africa. In short, American analyses of Africa are no better than the quality of information available to us.

The Nairobi Office of the Library of Congress has, for more than 20 years, provided invaluable bibliographic information for the study of northern, northeastern, eastern, central and southern Africa. Its very successes underline the need for similar efforts in West Africa, where there is a greater quantity of materials produced, many of which are not available through traditional channels, including commercial vendors.

West Africa, I think, is particularly important to us as Americans. It is, of course, the area to which the majority of African-Americans trace their ancestry. It is the home of nations that are central to current trends and economic and political development on the continent. I am thinking here especially of Nigeria, now the sixth most populous nation on the earth. West Africa is the home of countries with special historical relationships with the United States. For example, Ghana and Liberia.

The needs for systematic collection through a field office has become more crucial over the past decade for two reasons: First, we are increasingly understanding the inter-connectedness of political, economic, environmental and health concerns for the globe as a whole. East Africa needs to be a part of this global analysis.

Secondly, with the deterioration of economic conditions in African countries generally over the past decade, communications links with that part of the world have become increasingly tenuous, despite collection trips sponsored by our various research libraries. The nature of so much of the material available in West Africa meant we are losing a great deal of materials despite our best efforts to do comprehensive collecting.

The West African field office would facilitate research and understanding of West Africa in the context of the American response to a world in the midst of dramatic political and economic change. It would promote the national interest by allowing policymakers to base their decisions on a fuller representation of West African perspectives. Surely we cannot afford to be without these information sources.

I would urge the subcommittee to support the Library of Congress request for the West African acquisitions office.

[The statement of Ms. Bay follows:]

Statement in Support of the Library of Congress's Request for a West African Regional Acquisitions Office

by Edna G. Bay, Executive Secretary, African Studies Association

I am pleased to have the opportunity to testify in support of the Library of Congress's request for a West African regional acquisitions office. I am pleased, too, to be able to speak on behalf of the African Studies Association, a non-profit corporation of some 2500 individuals and institutions with an interest in African affairs and the leading organization promoting African studies in the United States. Founded in 1957, the ASA's mission is to bring together persons with a scholarly and professional interest in Africa, to provide useful services to the Africanist community, and to publish and distribute scholarly Africanist materials.

Most of the 1900 individual ASA members are professors and researchers associated with institutions of higher education in the US, though our membership also includes persons with careers in the United States foreign service, in international development and health, in primary and secondary education and in church or social service work as it relates to Africa. Our institutional members are predominantly libraries and academic programs.

Among the most active of the committees within the African Studies Association is our Archives-Libraries Committee. The oldest of our constituent groups, the committee consists of professional librarians and archivists representing virtually all the research institutions and major university libraries holding significant collections of Africana. Meeting twice annually, these 60-70 individuals have worked over the years to acquire materials on Africa and to make them available both to research scholars and to the American public.

The effective functioning of our members, as teachers, researchers and decision-makers in African affairs, is dependent upon access to current information on Africa, whether it be primary works such as news materials and government documents, or whether it be published and unpublished scholarly monographs and papers prepared by colleagues in African universities and research institutes. To the extent that we collectively assist in the formation of US opinion and of US policy on Africa, it is clearly in the national interest that the flow of information to us and to all Americans be ensured. In short, the quality of American understanding and analysis of African affairs is directly linked to the quality of information available to all of us.

The Library of Congress Office in Nairobi has done an excellent job in providing bibliographic control for a wide area of east, northeast, central and southern Africa. Its extensive acquisitions efforts have succeeded in developing one of the world's finest collections of current materials from those areas. Futhermore, through the office's cooperative acquisitions program, materials such as serials, which are particularly difficult to obtain through commercial sources, are being made far more widely available on a timely and continuing basis than has ever before been possible. The excellence of the services provided by the Nairobi office has underlined the need for a West African counterpart for the more than twenty African nations not currently covered by a Library of Congress field office.

The establishment of a West African acquisitions office is a particular need given the importance of that region: it is the area to which most African Americans trace their heritage, and it continues to be a strategically and economically important area for the United States. West Africa is increasingly the source of new immigrants to the United States, often skilled and talented individuals who have enriched American research capabilities in African studies as well as individuals who are contributing generally to the US economy. Nigeria, the world's sixth most populous country, is located in West Africa, as are Ghana, Ivory Coast, Liberia and Senegal, to mention just a few of the nations with which the US has special relations and interests.

The need for the systematic collection of information on West Africa is crucial at this time for two reasons. First, we have all been made increasingly aware over the past decade of the world-wide interconnectedness of environmental, health, political and economic systems. Tracing the spread of AIDS in West Africa or understanding issues such as West African deforestation and its impact on the earth's environment are essential to a global approach. Information on West African markets and the supply of raw materials is central to our understanding of global economics, while the changes in great power relations and the deep economic crisis in West Africa have created fluid and rapidly developing political situations likely to change the nature of government there and the atmosphere of international organizations everywhere. Our long-term policy interests will certainly be affected as populations in West Africa increase their demands for democratic institutions.

Second, at the same time that we recognize the need for global undertstanding of human issues, our ability to acquire information from West Africa has declined. Over the decade of the 80s deteriorating economic conditions there have crippled channels of communication across the Atlantic. Our librarians and scholars have become increasingly frustrated at being unable to obtain current materials either in a reliable or a timely fashion. Institutions with the means send librarians on occasional collecting trips and individual scholars often make acquisitions a side activity on research visits. Nevertheless, such efforts are by definition spotty, and cannot begin to deal systematically or comprehensively with the entire body of available materials.

In fact, there is a greater production of print materials in West Africa than in eastern Africa. One hundred fifty-three publishing houses exist in Nigeria alone. Commercial vendors are able to supply American institutions with only a portion of the needed materials. West African countries produce national bibliographies or other listings of publications only sporadically and many West African publications are ephemeral, products of short print runs and inadequate budgets. A field presence is essential for the systematic collection of these materials.

We anticipate that a West African aquisitions office will assist us in two major ways. First, the office will alert us to the existence of materials by producing a bi-monthly accessions list and annual list of publishers. We in turn will have access to those materials through the Library of Congress. Second, the Library of Congress plans through a West African office to offer American libraries participation in a cooperative acquisitons program to be run on a cost-recovery basis. This will enable virtually any American library to obtain materials, and particularly serials, on a reliable basis at a considerable savings in cost, even though they will pay list price plus 50% overhead. Moreover, American librarians and individual scholars will be able to acquire materials like government documents, which are often not available in multiple copies, through the LC's photoduplication services.

The need for a West African field office is abundantly clear. It would facilitate research and understanding of that area in the context of America's responses to a world in the midst of dramatic political and economic changes. It would promote the national interest by enabling policy makers to base their decisions on a fuller representation of West African governmental activities and intellectual concerns. Surely Americans cannot afford to be without these information resources, so many of which are at present outside our reach.

Mr. **Fazio**. Ms. Walsh.

Ms. **Walsh**. I am very pleased to be here. I would like to summarize the wholehearted support of the Librarians of the African Studies Association, which number about 70 and represent library collections throughout the country—three in the marvelous State of California, several in the equally marvelous State of Massachusetts, and everywhere in between.

We do have very——

Mr. **Fazio**. I was born in Massachusetts. I don't know if you knew that.

Ms. **Walsh**. I didn't.

Mr. **Fazio**. You rang all my bells at once.

Ms. **Walsh**. Wonderful. We hope that helps.

Mr. **Fazio**. I spend most of my time somewhere in between.

Go right ahead.

Ms. **Walsh**. OK. We wholeheartedly support the Library of Congress' proposal for a West African field office. I would like to summarize our feelings about this by positing some answers to three questions which this subcommittee might well raise during its deliberations:

One, my colleague has touched on why locate in West Africa?

I won't elaborate any more on the importance of West Africa, which is well documented in our written statements, beyond saying that beyond underscoring the very strong human and cultural ties that all Americans have with West Africa and pointing out that despite very serious current problems, many countries in West Africa—in fact, the region itself—has great potential for becoming significant players in global economics and politics. West Africa is indeed a friend that could be very well worth having.

There has been mention earlier of the necessity for statistics. information, good statistics, good information. We need to supply our experts with that basic information.

One might ask, since American experts write many books on West Africa and our libraries buy them all, why bother acquiring publications from that area? Why not depend on our experts?

The answer is our experts depend on the libraries to support their research. They need the primary source of information—government reports, the development plans, the censuses, the statistical abstracts, the local studies done by universities and other specialists in the area.

They also need the exchange of ideas with African scholars who publish their research in Africa. There is a strong book and publishing industry in West Africa. It is not as high a level as the commercial and university press in this country. We receive very sound scholarship, which is mimeographed on the worst possible paper. We talked about permanent paper earlier in some of the testimony.

West African publications come on whatever paper they can find. But there is a great deal of intellectual, scholarly activity in these countries. We need to acquire publications of all kinds—commercial, university, government publications.

Perhaps most importantly, our students, our graduate students, and especially our undergraduates, and even the secondary school students, who use many of our state and even private university libraries to do their advanced research, need to have the direct contact that books, newspapers and magazines published in Africa provide to place those students' research in the very human context of West Africa.

As frivolous as it might seem, for a student to read a political cartoon or even an advice column in a West African newspaper can take Africa out of the abstract and can make it very real and very understandable. That is what we need in our education process equally as much as the high level research that goes into policymaking.

Given our nationwide need for a broad spectrum of publications from West Africa, how do we as African studies librarians expect the Library of Congress field office to help?

Publications from West Africa are exceedingly difficult to identify, to locate, and to obtain. In the 15 or more years that I have been in this profession, every time we meet, our professional discussions will focus on this problem—exchanging information of how we can obtain publications.

Northwestern gets this publication and has some hints and advice as to how other libraries can obtain them. We share contact, we share information. We share information with the Library of Congress. The Library of Congress librarians attend all of our African Studies Association meetings. We meet frequently as we pass through Washington, whereas they visit our libraries. We have a great deal of cooperation already with the staff of the Library of Congress, with the West African section, with the cataloging section, and so forth. We discuss these problems in many ways.

I believe that the impetus for the West African office has come out of these discussions. It is not an idea that has grown from the Library of Congress, it is something that has come out of the constituency. Given the very successful record of the Library of Congress' Nairobi office in solving the problems of acquisitions for East Africa through their access list, through advice on specific problems, and more recently, expanded acquisition service, we anticipate the same kind of assistance for the West African office, as well as a strengthened collection in the Library of Congress, which is the library of last resort for the nation's researchers.

This is the information age. We, the African Studies Association librarians throughout this country, look forward to working with the library to expand the nation's understanding of West Africa through information. This will be greatly assisted by the establishment of a West African field office.

Mr. Fazio. Thank you.

Thank you both.

[The statement of Ms. Bischof as presented by Ms. Walsh follows:]

A Statement To Support the Library of Congress's Request for a West African Regional Accessions Office

by Phyllis B. Bischof, Chair, Archives-Libraries Committee, African Studies Association and Librarian for Afro-American and African Collections at the University of California at Berkeley

Thank you for this opportunity to state the wholehearted support of the Archives-Libraries Committee of the African Studies Association of the U.S. for the establishment of a West African regional office by The Library of Congress. Members of this Committee manage the most substantial and prestigious collections of Africana held by our nation's major research libraries. Our seventy members and our respective libraries welcome the prospect of better acquisition of and improved bibliographic control over West African materials, publications which have been notoriously difficult to acquire.

Africanists believe a West African regional acquisitions office to be not only highly desirable, but also necessary to improved acquisitions of West African publications by American libraries. Enactment of the request now before you would go far to alleviate the present partial and uneven coverage in this country of these publications which are sorely needed by scholars, students, entrepreneurs, and also by governmental policymakers. The outstanding success of the East African Accessions Office has long raised the question of why West Africa, with publications more numerous, has been ignored among foreign acquisitions programs. A West African acquisitions program would significantly enhance information resources available nationally because of a stated intent to make available copies of publications acquired by the field office not only to The Library of Congress itself, but also by sale in microform to other major Africana libraries around the country. The East African Office publishes and distributes gratis its highly valued Accessions List: East Africa. This list informs librarians what has been published in the twenty-two countries covered by The Library's Nairobi field office, and it delineates for us the universe of printed information with which we need to be familiar. No comparable form of bibliographic control exists for West Africa, although it is profoundly needed.

I should like to share with you just one specific example of the kind of problem typically faced by American librarians in acquiring African materials. For two years the Library of the University of California at Berkeley attempted in vain to set up a subscription to a Kenyan newspaper, The Daily Nation, published in Nairobi. We particularly wanted to receive the paper since at least fifteen Berkeley professors are engaged in East African research, and of course both American and Kenyan graduate and undergraduate students on the campus need to keep abreast of Kenyan news. One would think this to be a simple matter, but it was not. We wrote repeatedly with no response. Finally in 1987 we sent Ms. Susan Hall, a Berkeley Fulbright scholar spending a year in Nairobi, to the offices of the Daily Nation to discuss the matter in person. Subsequently much correspondence still was needed from Berkeley in order to get the subscription correctly underway. The paper finally began to arrive, however in late 1989 we decided we would have to cancel our subscription. Why so? Because the issues received were so few in number that each daily issue actually received cost us $44. No library can bear such costs. Only in limited instances can libraries afford the kind of special attention and voluminous correspondence we expended on trying to acquire this newspaper in the first place.

There is, however, a happy ending to this story. Just at the time we determined to cancel, The East African Accessions Office offered to begin acquisition of selected newspapers, serials, and governmental publications from Kenya for American libraries at cost plus a fifty-percent administrative fee. We had been paying $780. annually for this paper to arrive by airmail. Now we shall pay $100.50 for an annual subscription, and we do expect the paper to arrive regularly and promptly. Savings will be used to pay for other African materials we could otherwise not have purchased. The Archives-Libraries Committee wishes to express its appreciation to The Library of Congress for this extension of the activities of its Nairobi Office. This action should significantly strengthen and improve East African holdings in American libraries. Since no commercial alternative to this support exists, improved library collections of Africana remain quite dependent upon this type of assistance.

In 1982 I made a seven-week's acquisitions trip to five West African countries. Although this was highly beneficial to my library and its collections, such trips are very costly, necessarily infrequent, and benefit only single institutions. They require months of preparation and weeks of follow-up in addition to the time away from one's normal work. Karen Fung, Stanford's Deputy Curator for Africana, made one such trip during the 1970s; Dr. Joseph J. Lauer, then of UCLA, also made one trip during the 1980s. Acquisitions trips are not possible for more than one or two of our members in any given year, and many years have passed without a single trip being taken. Not only their cost and infrequency bear on the wisdom of reliance on such trips to improve acquisitions; the sheer number of the more than fifty African countries for which we are responsible to collect materials does not permit more than occasional visits by even the most assiduous traveller.

Africana librarians consider publications of Nigeria to be among the most urgent to acquire; they are also among the most difficult. Our acquisition problems stem in large measure from remaining gaps in Nigerian infrastructure and from difficulties inherent in long-distance communication. Nigeria's population of an estimated 105 million means that one of every six Africans is Nigerian. Nigeria possesses one of the highest per capita incomes on the continent, ($730 in 1986, according to The Statesman's Yearbook of 1989-90), and its people are full of vitality and resourcefulness. After obtaining independence in 1960 Nigeria built twenty-two universities and scores of polytechnic and other college level schools. It also, like many other newly independent African nations, instituted universal primary education in the years 1955 to 1971. Thus it offers a number of aspects of unmistakable interest to this country, including a relatively well-trained workforce, sizable potential markets, and in addition, of course, substantial oil reserves.

Recently established (since 1984) Nigerian publishers, are all quite significant, but thus far only poorly represented in libraries of this country. They include the following: Fountain Publications (Ibadan), Booklinks (Ibadan), Gbemi Sodipo Press (Abeokuta), Malthouse Publishing (Ibadan and Lagos), Paperback Publishers (Ibadan), Saros International (Port Harcourt), Vantage Publishers (Ibadan), Zikizum Publishers (Benin City), Pero Press (Lagos), Zim-Pan African Publishers (Oguta), etc. Publications of these newly established publishers and other indigenous publishers, as well as the information issued by West African governments should be readily available in major research libraries here in the United States. I wish to make emphatically clear that adequate private sector resources to supply research libraries with these publications do not exist.

It is a truism that this is an information age. In such an age Americans can ill afford to be without solid collections of West African publications. This country must compete in an information age, for so very many reasons. We must know the terrain and the facts of daily life, as well as the political and economic conditions in this important area. We must know markets and demographic patterns; educational, medical, and environmental information of all kinds is required. A number of the West African countries contain parts of the Sahara Desert within their borders; detailed information regarding their climates is imperative in order to assess and act upon such questions as those associated with global warming. Information regarding levels of air pollution and water purity in oceans off the borders of these lands also affects the lives of Americans. Establishment of this office provides a singular opportunity to bridge a troubling gap in our sources of information on West Africa.

The Archives/Libraries Committee of the African Studies Association is encouraged by the present endeavor to establish a West African acquisitions office. We consider passage of the Library of Congress proposal for this office essential to the successful performance of our work. Passage is also essential to the national interest, for it would enable policymakers to base their decisions on a fuller representation of West African information of all kinds.

Members of the Archives-Libraries Committee unanimously urge the Subcommittee's favorable consideration of this measure.

LOC 4(a) SUBCLASS, COOK, ET AL. VERSUS BILLINGTON, CS #82-0400

WITNESSES

JOYCE THORPE, LIBRARY OF CONGRESS EMPLOYEE

TOMMY SHAW, LIBRARY OF CONGRESS EMPLOYEE

Mr. FAZIO. We will now hear from Joyce Thorpe, who is representing a number of individuals who are filing a class action suit that has been successfully brought to conclusion, but one which has yet to see settlement of the claims which were adjudicated. Is that a fair statement?

Ms. THORPE. Yes, it is a fair statement.

I wish to express my appreciation for you allowing me to testify here before you today. With me is Dr. Tommy Shaw, who is also a member of the class action suit.

Mr. FAZIO. Good morning, Mr. Shaw.

Mr. SHAW. Mr. Chairman, I would like to state that I was gratified to receive the letter a few days ago which stated that the library has a responsibility to state its position and that employees in the library have a right to assess the personnel practices. I am going to share that with other people in the Library of Congress.

Ms. THORPE. Rather than reiterate my written testimony and the testimony of others given here today, I would like to discuss a few points in my testimony and highlight for the committee why the resolution of this class action is very important.

My basic premise is that although the Library of Congress admitted they discriminated against their black employees, it continues to waste the taxpayers dollars and the resources of the Library of Congress refusing to grant the relief provided by the courts.

I would like to point out the 4A regulation that is mentioned in my testimony and how it has been used to discriminate against black employees at the Library of Congress. The employee regulation is a regulation by which the librarian may determine that normal practice of posting vacancies is impractical or undesirable and therefore may fill the vacancies through appointments.

Examples of some of these vacancies are: secretary to a task force, administrative librarian, director of personnel, legislative attorney, copyright examiner. We, the class action plaintiffs, fail to see how the requirements of a secretary of GS-6, and 7 and 9 level would represent a hard to fill job, or the unique qualifications that the Library claims were used to fill these appointments.

I believe, from working at the Library of Congress that on a GS-6, 7, and 9 level, all a secretary has to be able to do is to speak, read, write, answer the telephone, file, open mail, set up appointments, and give messages to various people. We fail to see how the Library can justify using a 4A appointment, claiming that these qualifications are hard to fill or that they could not have recruited outside the Library, or from the Library in general.

I would like to point out that the individual who received the appointment to a secretary, the GS-6, 7 and 9 level, now, because of this illegal process, is a GS-15. We are questioning why cannot all employees at the Library of Congress be given such an opportunity for professional growth?

Another point that I would like to bring out about the waste of taxpayers money and the Library resources. The Library has consistently introduced motions to delay payment of the funds that the judge has ordered. An example is that the Library demanded each black employee who applies for those funds would demonstrate the qualifications they had for the job. The Library wants that person to be more qualified than the person who received the job.

This is unfair because the person who got the job did not have to demonstrate any qualifications whatsoever.

Mr. FAZIO. Is this in terms of how the settlement will be parceled out to individuals?

Ms. THORPE. Yes, it is.

Mr. FAZIO. Is it your testimony that you feel most of the plaintiff class are willing to share the proceeds equally?

Ms. THORPE. Yes, that is my testimony.

Mr. FAZIO. Do you feel that any further litigation over this process is irrelevant or unnecessary? That is the reason you are questioning the use of taxpayers funds?

Ms. THORPE. Yes it is.

The latest order of January 24, 1990, it was stated by the Library yesterday the qualifications of the class members who applied for the funds, that the Library would have to go through a lengthy and costly validation process which could be as much as $3 million to validate those jobs.

We are only speaking of the distribution here of $64,000. The Library continues these delaying tactics. It is a pervasive practice. They have filed many motions. As I pointed out in my testimony, although the funds would come from the Department of Justice, the library has several full time attorneys working on this. They need outside testimony from expert witnesses.

Our statistician cost us $80,000 just on the 4(a) part of the claim. I would urge this Committee to please question the Library of Congress as to why they are wasting their resources and the taxpayers resources to fight about an issue in which they conceded liability and that they blatantly discriminated against their own employees.

Mr. FAZIO. Which is reducing the effect of the award to you because of the additional cost of having an attorney?

Ms. THORPE. Yes.

Mr. FAZIO. I appreciate your testimony.

It seems on the surface, to make a great deal of sense.

Ms. THORPE. Thank you very much.

Mr. FAZIO. Any further comments on this matter?

Thank you very much for your testimony today.

[The statement of Ms. Thorpe follows:]

On June 24, 1988 Judge Norma Johnson of the United States District Court for the District of Columbia ordered the creation of a back pay fund to compensate black employees who had suffered as a result of the Library of Congress' admitted discrimination in appointing persons to job vacancies, without advertising or competition, through the use of Library of Congress Regulation 2010-14, §4(a). In a Memorandum Opinion on June 27, 1988 Judge Johnson ordered that the Library pay the plaintiff class members back pay of $664,224.

Following that court order, approximately 450 employees and former employees filed claims seeking to receive a share of the back pay. Unfortunately, however, despite the lapse of more than 18 months, no money has been paid out. This has been due to the Library's continuing insistence that in order to receive any money, each individual must prove that he or she was more qualified than the person who actually received the 4(a) position. If this position were accepted, it would mean that there would have to be more than 450 hearings for individual claimants, in a situation when an average claimant would receive only a little more than $1,000. In addition, under Title VII law the Library, as the losing party, is responsible for the attorneys fees paid by the plaintiffs during all of these hearings.

We believe that it is neither feasible nor a useful use of resources to undertake this massive exercise. Most of the plaintiffs have expressed a willingness to share the $664,224 back pay fund equally and therefore avoid the need for hearings which could last years.

While we understand the payment of this back pay amount will come out of the Judgment Fund and not from the Library of Congress' Appropriated Funds, we note that the Library has several attorneys who will be engaged full time in these hearings if they must be held. Consequently, there will be significant cost to the Library. It is logical in terms of the Library's own funding to agree to the rational resolution which has been proposed by the plaintiffs in this case in order to put this portion of the litigation behind the Library, and to allow the Library to focus its attention to resolving other pending litigation. This would also permit the Library to work to improve the situation which has led to these large lawsuits.

February 6, 1990

JOINT STATEMENT OF BLACK AND ETHNIC EMPLOYEES OF THE LIBRARY OF CONGRESS

Mr. FAZIO. We have received written testimony from the Black and Ethnic Employees Organizations at the Library of Congress.

[The joint statement of BELC and EELC follows:]

BLACK EMPLOYEES OF THE LIBRARY OF CONGRESS (BELC)

BELC EELC

ETHNIC EMPLOYEES OF THE LIBRARY OF CONGRESS (EELC)

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JOINT TESTIMONY OF THE BLACK EMPLOYEES OF THE LIBRARY OF CONGRESS GIVEN BY HOWARD R. L. COOK, EXECUTIVE DIRECTOR, AND THE ETHNIC EMPLOYEES OF THE LIBRARY OF CONGRESS GIVEN BY GEORGE E. PERRY, PRESIDENT, PRESENTED BEFORE THE U.S. HOUSE OF REPRESENTATIVES APPROPRIATIONS SUBCOMMITTEE ON THE LEGISLATIVE BRANCH OF GOVERNMENT, FEBRUARY 8, 1990

INTRODUCTION

We appreciate the opportunity you have given us on this occasion to present testimony on the budget request of the Library of Congress for Fiscal Year 1991. We have over the years taken the lead in efforts to bring about a more efficient use of the human resources at the Library of Congress. We have also been in the forefront in our calls for restraint against what we have seen over a number of years as excessive spending of appropriated funds ending with no results and starting with a lack of a sense of direction.

BELC-EELC INITIATIVE

We take great pride in the fact that this marks our thirteenth year of providing testimony, information and knowledge to the Committee on the Library of Congress budget request. Our two organizations were the first to provide to the Congress testimony on the Library of Congress budget request starting in 1978. Our initiative in this regard led to all the other employee organizations having the opportunity to provide the U.S. Congress with testimony on the Library of Congress budget request.

BUSINESS

In the recent past we have noticed a trend on the part of the Librarian of Congress and others to blend the operations of the Library of Congress, a U.S. Government Agency, with those of private enterprise. These private businesses, as we see it, are seeking to exploit a government agency supported by the U.S. taxpayer for their private enterprise and profit.

We believe that such activity clearly poses serious questions of conflict of interest and may therefore not only be ethically improper but also illegal. We believe that the Librarian of Congress, the head of a government agency, should not be promoting any specific company or private enterprise. An engagement such as this in our view opens the door wide to further mismanagement and corruption within the Library of Congress. We are particularly concerned about the proposed joint venture to publish a magazine of the Library of Congress involving the private sector. This idea of mixing the operations of the government and the promotion of private industries headed by the top captains of industry appeared in the Washington Post on January 26, 1990, pages B1, B4. There is at present more than enough intermingling of private commercialization and government in the Library of Congress to warrant concern about conflict of interest and corruption.

EQUAL EMPLOYMENT OPPORTUNITY SITUATION

The problems encountered by minorities relative to all forms of discrimination at the Library of Congress have not improved but have gotten worse. The proof of this fact is demonstrated by the continued increase in numbers of discrimination complaints received by the Library of Congress Equal Employment Opportunity Complaints Office (EEOCO) in Fiscal Year 1989. The EEOC Office received 282 complaints in FY 1989. The claim by the office is that it resolved 102 discrimination complaints in the same period of time. We are not sure what these alleged resolutions consisted of in terms of what was provided the complaining employees by the Library of Congress management. We do not know if these resolutions were fair and without pressure having been brought against the complaining employees. We do know from our personal experience in the many matters that we have been involved in, the Library of Congress did not provide or suggest fair and free resolutions. In Fiscal Year 1989, 180 discrimination complaints were left pending, or two thirds of the total cases were left pending. On February 5th, 1990 the Library had pending in its control 164 discrimination complaints. We have analyzed for you in past years what this means in terms of wasted time and money to have such a large number of employees involved in discrimination complaints. If only, which is a minimum, four employees were engaged in each complaint, not including the staff in the EEOCO, the number of employees involved in FY 1989 would be about 1,128 employees or about one fifth of the entire staff of the Library. This means that over a five-year period the number equals the total number of LC staff.

CLASS ACTION

The Library of Congress has been involved in a class action suit based on discrimination against minorities since 1975. On April 28th, 1987, the Library of Congress admitted liability for its discrimination against minorities. An award in back pay and front pay totaling more than $800,000 was granted by the U.S. District Court for the District of Columbia. The award has not been paid as of this date due to what we believe unwarranted delay, manipulation and obstruction of justice by the Library of Congress. The Library of Congress has not hesitated to engage in this sort of activity which has resulted in increased legal fees in addition to those already accumulated prior to April 28, 1987. There seems to be no end in sight to the Library's misconduct and waste of the U.S. taxpayers' money. The more than $800,000 award resulted from the Library's illegal use of Section 4A of Library of Congress Regulation 2010-14. The Library relied on this section of its regulation to make non-competitive appointments to a large number of top level positions in the Library of Congress. These positions were simply given to individual favorites of the Librarian. Most of these individuals remain in those positions even three years after the Library of Congress administration admitted legal liability for such conduct. These individuals include such persons as the recently Acting Librarian of Congress, the "Acting" Chief of the European Division over a period of about fifteen years, the Director of the Library's Center for the Book and the Chief of the General Reading Rooms Division. We believe that corrective action is needed by Congress since the Librarian of Congress has failed to make any corrections.

$12.2 MILLION SUIT

On February 6th, 1990, the Washington Post contained an article on page B7 about Floyd D. Hedrick and his $12.2 million suit against the Library of Congress, charging age discrimination and cronyism. This article is further demonstration dealing with the serious problem of discrimination and mismanagement in the Library of Congress. This article also confirms our concerns which we have been expressing to you for many years. Our concerns have been that the problems of discrimination and mismanagement are widespread involving employees of all ages, all colors, all ethnic backgrounds, all national origins, both sexes, and all races. Mr. Hedrick is a 63-year-old white employee of long standing service to the Library. We do not take any position at this time on the rightness or correctness of Mr. Hendrick's complaint but we do strongly believe that it points out a serious problem within the Library of Congress. We are concerned because it is a clear showing that appropriated funds and human resources are not well managed in the Library of Congress. The harassment inflicted by the Library on Mr. Hedrick is unfortunately not unusual at the Library but depicts what has happened to literally thousands of other LC employees over the years.

280 NEW POSITIONS

The Washington Post of February 6, 1990, page A23, states that Dr. Billington requested 280 new positions in his FY 1991 budget request before the Committee. It also stated that he requested $52 million more than the Library FY 1990 budget of $267 million which represents a 20.5% increase. We are concerned with the request for the 280 new positions at a time, as the Washington Post indicated, when about 13% of authorized positions in the Library of Congress are vacant. We are concerned about the 13% vacancy rate because we believe that these positions go vacant because of discrimination. That percentage of vacant positions in our view represents a misapplication of appropriated funds and because such is the case we do not see how a request for 280 new positions can be justified. We believe that before new programs and new staff are added there should be full use of the present staff and positions funded through Congressionally appropriated funds. We note that the Librarian's large monetary increase request comes at a time when most people are calling for cuts and reductions in federal spending. We do not believe, as the Librarian apparently does, that more money means better but we believe that to honor his request would be rewarding the Library of Congress and its administration for its failures over a long period of time to improve its handling of appropriated funds and staff. Articles in the Washington Times for September 8, 1989, page B6, October 4, 1989, page B5 and January 17, 1990, page B5 have highlighted the varied problems existing at the Library of Congress. These articles indicate that federally appropriated funds are not properly used at the Library of Congress.

The October 4th, 1989 article from the Washington Times points up a possible conflict of interest in that Mrs. Rhoda W. Canter had been a consultant to the Library from the Arthur Young and Co. organization. Her consultation in part consisted of a review of a study conducted by Patterson and Associates report and study on equal employment opportunity in the Library of Congress. The Arthur Young study took issue with the Patterson study. The Patterson study results have not been implemented but Mrs. Canter has become the Associate Librarian of Congress for Management. This situation has the appearance of a conflict of interest. The Patterson report in its recommendations was more favorable to minorities than the Arthur Young report which came after the Patterson report. We have problems with the Library administration hiring a consultant who participated in formulating a weaker report on minorities.

RESOLUTION TEAM

The Library for a long while back made a big to-do with a Special Announcement about the establishment of a pilot program to resolve by negotiation some of the many problems at the Library of Congress, one of which is the matter of discrimination. In our view this resolution team or committee has failed almost from the beginning. It appears that discrimination exists even when attempting resolutions of discrimination. The discrimination takes the form of majority employees receiving just settlements while at the same time minority employees receive unjust settlements and proposals or no settlements at all. We believe that the Appropriations Committee should encourage the Library Administration to make its Resolution Team function by production of just and beneficial settlements for all employees. To do otherwise, the Resolution Team engages in a waste of time, use of employee resources, and appropriated funds. Our two organizations were the first to advocate in Congressional testimony before this Committee in the late 1970s or early 1980s the method of negotiated settlements at the Library of Congress as a means of eliminating or at least reducing the innumerable problems at the Library. We were in favor of such an approach then, and we still favor such a meaningful approach. We have approached this year the Director of the Harvard Negotiation Project asking for assistance for both sides. Attached to this testimony as Exhibit 1 is the letter of George Perry to the Director of the Harvard Negotiation Project, Harvard Law School Professor Roger Fisher and as Exhibit 2 the response of Professor Fisher's Assistant offering to assist if there is a formal invitation for professional advice.

TOO MUCH OUTSIDE TIME

We are becoming concerned that Dr. Billington is spending too much time on matters outside the Library of Congress. We had expressed concern about this sort of matter involving his predecessor. We have been disappointed to discover that Dr. Billington is following the same pattern after pledging to be a hands-on full-time Librarian of Congress managing the affairs of the Library of Congress. We are particularly interested in the time that he appears to be spending with matters dealing with the Soviet Union while the problems at the Library of Congress continue to worsen. It appears that Eastern Europe and the Soviet Union are moving to solve their problems from within. In addition, the U.S. Government through Members of Congress, Committees and the State Department, as well as our Ambassador to the Soviet Union are charged with and authorized to look after the Soviet Union. We would like Dr. Billington to direct his efforts towards solving the many problems at the Library of Congress.

DELC-EELC RECOGNIZED

The two minority employee organizations at the Library of Congress might not be recognized and respected at the Library of Congress but are recognized and respected elsewhere. An example of that recognition and respect can be found in our appearance in the 28th edition of Ulrich's International Periodicals Directory, 1989-90, Volume 1, pages 1617 and 4662, published by R. R. Bowker, New York, NY and attached to this testimony as Exhibit 3.

SOME QUESTIONS

Finally we have several questions to put to you which have been put to us by a number of respected scholars. These questions are:

Why No Change?

Why So Many Complaints?

Why Are Conditions at the Library of Congress So Bad for Employees?

What Has Congress Done About It?

CLOSING REMARKS

Mr. **Fazio**. At this time we will adjourn the legislative hearings for fiscal year 1991, subject to the call of the Chair. Thank you.

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